APPLICATION REQUIREMENTS FOR

NATIONAL RESERVE ACCOUNT GRANTS

TITLE III OF THE JOB TRAINING PARTNERSHIP ACT

OCTOBER, 1996

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PREFACE

The following guidelines for the submission, award and management of JTPA Title III National Reserve Account (NRA) grants are designed and intended to foster efficient and responsive disbursement, and effective use of NRA funds. A primary objective of these guidelines is to establish a process which results in timely assistance to eligible dislocation events while supporting accomplishment of the quality service principles which have been defined by DOL for its customers. These principles are:

- Early intervention and contact with affected workers;
- Effective planning which mobilizes a full range of services and resources;
- Flexible, individualized service approaches which are tailored to the needs of the workers and circumstances of the dislocation event; and
- Service-delivery that achieves quality outcomes for the affected workers.

Accomplishing this objective requires an active and productive working relationship among the Grant, Program and Regional Offices of ETA; the JTPA Title III State and substate entities; and other eligible applicants for grant funds.

These guidelines were developed by a Federal-State-local workgroup of representatives from each of these partner organizations. The workgroup focused on developing guidelines which reflect the key principles of quality management: strategic planning, customer-driven quality, strong processes and continuous improvement, and management by facts/information. The membership of the workgroup is included in Appendix I.

A. Objectives of the NRA Grant Management Process

A priority of the workgroup was ensuring that the NRA grants management process recognize the fluid and dynamic nature of most dislocation events, and provide an appropriate value-added role for each partner entity (e.g., DOL national office, DOL Regional Office, State, substate) in ensuring the design and implementation of quality projects. The workgroup defined eight objectives which should be accomplished by and reflected in the grants management process:

- Effective use and integration of all available resources;
- Targeting resources to need;
- Quality services and outcomes for customers;

- Timely submission of applications and implementation of services;
- Time-efficient processing of grant applications;
- Consistent treatment of applications;
- Flexible disbursement and use of funds;
- Value-added structure for managing grants.

To support these objectives, DOL is committing to a 45 (calendar) day turnaround between the receipt of a **complete** application and a funding decision by the Secretary. ETA will submit a recommendation to the Secretary within 30 (calendar) days of receipt of a complete application. The process described in these guidelines presumes an active review role by the State JTPA entity, including the Dislocated Worker Unit (DWU), to ensure the submission of complete and responsive applications. DOL expects that the State will not require more than 15 (calendar) days following receipt of a **complete** application to review and transmit that application to the Grant Officer and the ETA Regional Office. [To facilitate the development and submission of complete grant applications, a completeness review checklist has been developed and is included in Appendix G.]

DOL is also implementing two new policies designed to support more flexible funding of projects and more timely delivery of services to eligible workers:

(1) Grant Officer authority to approve the use of grant funds to pay for appropriate pre-award costs of reemployment and retraining services specifically identified in the grant award document that were or are being provided to members of the eligible target group; and

(2) Incremental or phased funding where appropriate.

This flexibility is intended to support a quality-based approach to the design and delivery of services to eligible dislocated workers. Making quality improvements in services and outcomes achieved for dislocated workers is an important goal of NRA grant projects.

The appropriate use of these flexible funding options will be evaluated on a case-by-case basis. In general, authorization of pre-award costs will only occur in exceptional circumstances where: (1) it was necessary for the State or substate to provide previously committed funds to serve the immediate needs of the eligible target group prior to the date of the grant award; and (2) it can be demonstrated that the needed action was due to an unanticipated or unusual circumstance and not as a result of untimely planning or submission of the funding request. Funds awarded in one

Program Year cannot be used to pay for the costs of services incurred in a prior Program Year.

Application submission requirements and oversight procedures are being focused on the implementation of quality participant service and project management processes. DOL expects that NRA projects will be characterized by the following quality service principles:

QUALITY SERVICE PRINCIPLE	CHARACTERISTICS
Effective Planning: A high level of state and local coordination in the general assessment of workforce needs, the identification of resources, and the planning for and delivery of rapid response assistance and other services.	▸ Timely initial contact ▸ Information provided on job opportunities and on the range of assistance and services available in the community ▸ Assistance provided on UI claims and immediate needs (e.g., stress and financial management)
High Level of Worker Involvement: The State and the local entity establish effective mechanisms for initiating and maintaining contact with workers.	▸ Maintenance of contact through peer contacts, employer and union involvement, professional associations and networks ▸ Worker input in planning and delivery of services ▸ Accessible, streamlined enrollment process
Responsive Assessment and Service Planning: Participants receive the assistance which they need for timely and effective reemployment.	▸ Flexible assessment process, tailored to the background of target group ▸ Assessment and service planning focused on reemployment ▸ Process is streamlined with focused responsibilities and continuity of staff ▸ Assessment process is related to available service options ▸ Service plan is consistent with assessment results
Flexible, Individualized Services	▸ Flexible options: service/training mode

and Training: Services provide maximum options, customer choice, are tailored to individual needs, and are easily accessed.	and schedules ▸ Supports choice by the customer ▸ Quality-based performance standards in selection of vendors ▸ Flexible procurement policies

QUALITY SERVICE PRINCIPLE	CHARACTERISTICS
Flexible, Individualized Services and Training (cont.)	‣ Use of self-access and self-use formats in providing Labor Market Information (LMI) and Basic Readjustment Services (BRS)
Adequate Participant Support Services: Sufficient scope and capacity to meet support needs of target group.	‣ Adequately budgeted for target group ‣ Adequately linked to other sources ‣ Provision is consistent with assessment results ‣ Objective mechanism for determining need and objective criteria for receipt of assistance
Customer-focused Job Development: A sufficient number of quality employment opportunities will be available for participants.	‣ Direct employer contacts focused on building long-term relationships ‣ Focused staff responsibility ‣ Activity is adequately linked to enrollment and training schedules
Quality Management: Systems and processes that promote a positive, quality experience for each person served.	‣ Collection of information on customer satisfaction with both outcomes and service process; and on sources of satisfaction and dissatisfaction with the service process ‣ Focused responsibilities and an organized procedure for using customer satisfaction results to make improvements in project design and operations

	‣ Information-driven management process which reflects analysis of both outcomes and customer satisfaction

QUALITY SERVICE PRINCIPLE	CHARACTERISTICS
Quality Management (cont.)	▸ Management process which includes measures and frequency of analysis to adequately control implementation and expenditures in relation to grant requirements and planned outcomes

To help ensure that applications are responsive to these principles and to local circumstances and capabilities, these guidelines establish an explicit, active role for States and ETA Regional Offices in assessing the appropriateness of project goals, service processes and management systems.

The Department expects that applications for NRA grant funds will result from effective rapid response and early intervention activities and a significant State and local project planning effort, and that each application will ensure an integration of all available resources (e.g., formula, discretionary, other public and private) to support the project plan.

B. Summary of Significant Changes

These NRA grant guidelines represent a significant departure from the previous guidelines. The significant changes are:

(1) The various categories of applications have been restructured and simplified.

- There are four types of projects for which a grant application may be submitted:
  - -- a REGULAR project, which will apply to most situations and to all intrastate situations involving plant closures and mass layoffs;
  - -- a DISASTER project in situations involving natural disasters and other devastating events;

-- MULTISTATE projects in which dislocations are occurring in multiple sites across state boundaries and the applicant is an entity other than a State;
-- a request for ADDITIONAL FINANCIAL ASSISTANCE (AFA) in cases where information indicates that a State or substate area's formula allocation should be increased.

Each of these types of projects has different grant application submission requirements.

- REGULAR and MULTISTATE projects can be operated in accordance with the provisions of Section 323 (regular Title III discretionary), Section 325 (Defense Conversion), Section 325A (Defense Diversification), Section 326 (Clean Air Transitional Assistance), or NAFTA Trade Adjustment Assistance as described in TEGL 2-94, Change 1 (and subsequent changes). Where an application is being submitted to operate a project in accordance with Section 325A, Section 326 or NAFTA/TAA, the application will have to respond to some supplemental requirements.

(2) Flexible funding approaches are available to promote the early commencement of services and assistance to eligible dislocated workers. All projects, except AFAs, can be funded on the basis of full funding or incremental funding. REGULAR and DISASTER projects can also be funded on an emergency basis.

(3) Applicants are required to provide rapid response-type, early intervention services in conjunction with any dislocation event for which NRA grant assistance is provided. For State and substate applicants, this should be done through the State's rapid response process. For other eligible grant applicants, this can done through cooperative arrangements with the State Dislocated Worker Unit or through other appropriate mechanisms. Applicants should not expect to pay for the costs of rapid response-type assistance with NRA grant funds.

(4) Application requirements are focused on the use of quality participant service and management processes, and less on detailed operational planning decisions. Applicants are expected to use NRA grant funds to implement innovative projects which achieve high quality services and outcomes for the dislocated workers who are served. Customer satisfaction measurement and continuous improvement will be required elements in each NRA grant project.

(5) States and ETA Regional Offices will play a stronger role in verifying the effectiveness of these processes through both a pre-award analysis of the project plan and post-award reviews of project implementation.

(6) The Department is committing to a timely turnaround on review and approval of applications, where applicants have committed to submitting complete applications which respond to the requirements of these guidelines.

In summary, these guidelines provide more flexibility, but increase expectations regarding the linkage between discretionary grants and: rapid response and project planning activities; the mobilization and use of all available resources; and the implementation of quality service strategies and management processes.

PART I. BACKGROUND

Under Section 322(a), the Secretary has the responsibility to target resources efficiently to areas of most need, to encourage a rapid response to economic dislocations, and to promote the effective use of funds. In addition, Title III national reserve funds should provide a model for promoting higher quality services and outcomes in all dislocated worker programs.

A. Policies and Requirements Governing the Use of Title III National Reserve (NRA) Funds

1. All projects and activities funded shall be subject to the Act, the JTPA regulations, the requirements contained in these instructions, and the Grant Officer's award document(s) and any subsequent grant amendment(s).

2. Grant applications should be an outgrowth of an effective early intervention process. Applications for NRA funds should be the result of a planning process which has been activated through State rapid response and, as appropriate, an early intervention assistance process that may include the use of formula funds to initiate basic readjustment, retraining and supportive services. In cases where formula funds have been used to provide services (excluding rapid response, which is the State's responsibility) to the eligible target group prior to the date of grant award, the Grant Officer may authorize the use of grant funds to pay for the costs of these services. The one limitation is that grant funds awarded in one Program Year can not be used to pay for the costs of services incurred in a prior Program Year.

3. National reserve funds should supplement and expand the State and substate capability to respond effectively to dislocation events. NRA projects should generally be funded from multiple sources; and NRA funds should be used both to serve more dislocated workers and to achieve higher quality services and outcomes than may be possible through the formula funded program alone. States and substate areas are expected to make maximum use of funds provided for the purpose of serving eligible dislocated workers. Requests for NRA funds, therefore, will be evaluated in terms of the policy delineated in Training and Employment Guidance Letter (TEGL) 7-95, and any subsequent modifications thereto, regarding intertitle transfers of funds under JTPA, as authorized by the FY 1996 Omnibus Appropriations Act.

4. NRA funded projects should support the key ETA service goals and be designed around principles that have been shown to be effective in achieving positive outcomes for dislocated workers (e.g., transition service centers, mechanisms for active employer and worker input in design and operation of the project, methods of continuous improvement based on customer feedback).

5. The NRA grant process should recognize and provide a means for responding to the fluidity of dislocation events. The Secretary may use an incremental funding approach to respond to dislocation events as determined by need. As discussed in Part IV, incremental funding of a grant can be at the request of the applicant or at the discretion of the Secretary.

B. Eligible Circumstances

Services of the type described in JTPA section 314 may be provided with national reserve funds in the following circumstances:

- Plant closures and substantial layoffs within a State when the workers are not expected to return to their previous industry or occupation of employment;
- Dislocations resulting from natural disasters and other devastating events;
- Plant closures and substantial layoffs that occur on a multi-state basis when the workers are not expected to return to their previous industry or occupation of employment;
- Provision of additional financial assistance to programs and activities being operated by State and substate grantees under Part A of Title III of JTPA, where economic conditions have sufficiently changed to warrant an increase in the area's formula allocation.

C. Types of Applications for NRA Funds

There are four types of applications which may be submitted for Title III NRA funds:

- a standard or REGULAR application;
- an application for a DISASTER assistance project;
- an application for a MULTI-STATE project where the applicant is not a State entity;
- an application for ADDITIONAL FINANCIAL ASSISTANCE (AFA).

A REGULAR or MULTI-STATE application may be submitted to operate a project in accordance with Section 323, Section 325 (Defense Conversion), Section 325A (Defense Diversification), Section 326 of the Act (Clean Air Employment Transition

Assistance), or for NAFTA-impacted workers. AFA projects may only be operated in accordance with Section 323; and DISASTER projects may only be operated in accordance with Sections 323 and 324.

As discussed in Part III, Application Requirements, requests for funds under Multi-State grants will be submitted, and funded, in two major phases: Level 1 - Planning and Organizing Activities; and Level 2 - Participant Services.

The following table, Types of NRA Grant Projects, summarizes the relationship between types of applications and types of projects.

Relationship between Types of Projects and Types of Grant Applications

Application Type	Project Type				
	Title III (sec. 323)	DCA (sec. 325)	DDP (sec. 325A)	Clean Air (sec. 326)	NAFTA-TAA
REGULAR	Yes	Yes	Yes	Yes	Yes
DISASTER	Yes	No	No	No	No
MULTI-STATE	Yes	Yes	Yes	Yes	Yes
AFA	Yes	No	No	No	No

D. Eligible Applicants

Eligible applicants for NRA grants include States, Title III substate grantees, employers, representatives of employees, Native American tribal entities eligible to receive JTPA grant funds pursuant to section 401 of JTPA, and other entities which are certified by the State(s) as qualified project operators. However, each type of applicant is not eligible under each type of application for NRA funds. The following table, Eligible NRA Grant Applicants, identifies the type of application(s) for which each of these entities is an eligible applicant.

Relationship between Eligible Applicants and Types of Applications

Application Type	Eligible Applicant?					
	State	Title III Substate Grantee	Employer	Represent-ative of Employees	Employer/ Employee Entity	Native American Tribe
REGULAR	Yes	Yes	Yes	Yes	Yes	Yes
DISASTER	Yes	No	No	No	No	Yes

MULTI-STATE	No	No	Yes	Yes	Yes	Yes
AFA	Yes	No	No	No	No	No

For REGULAR applications, grants may be awarded directly to the eligible grantee or through the State via a subgrant. For REGULAR projects, the Department's policy will be to make grant awards to States **unless** another eligible applicant can make a compelling argument, based on programmatic benefits (i.e., outcomes, quality services), to be funded directly. For NRA grant awards, the Department must verify the capability of each grantee organization to manage funds in a manner that ensures accountability and integrity of fund usage. States are subject to the provisions of the Governor-Secretary and JTPA Grant Agreements, and are not required to demonstrate separately their management capability. When the State is a successful applicant, a verification of management capabilities is not required, and grant funds can be released in a timely manner following an award decision by the Secretary. When the applicant is not the State, a verification of management capabilities is required prior to release of grant funds. Further, it is necessary to execute a distinct, complete grant agreement whereas, with States, the grant can be incorporated into the existing JTPA Grant Agreement.

Each grantee is responsible for ensuring the management capability of any project operators, distinct from the grantee, to administer the funds effectively and accomplish the service objectives and outcomes of the project.

E. Secretary's Rights Reserved

1. The Secretary reserves the right to distribute a portion of national reserve funds in a manner other than that provided by this notice, consistent with the JTPA, and taking into consideration special circumstances and unique needs which may arise. This may include the funding of projects through a separate competitive grant process.

2. The Secretary also reserves the right to fund individual projects on an incremental basis where the Department determines that such an action would result in the most effective use of available resources. [The policies and procedures for incremental funding are described in Part IV of these guidelines.]

3. If the Department receives an insufficient number of applications which are of acceptable quality, and which meet the guidelines and selection criteria contained in this notice, to fully and effectively use the funds in the national reserve account, the Department will take whatever action it deems necessary and appropriate,

consistent with the Act and the regulations. Unobligated funds remaining when the Secretary's obligational authority expires will be returned to the Treasury.

PART II. PROGRAM REQUIREMENTS

A. Participant Eligibility

Individuals who meet the eligibility criteria defined in sections 301(a), 314(h)(1), 325(a) and (e), 325A(b) and (f), or 326(a)(1) of JTPA, as amended by the Defense Authorization Act of 1995), shall be eligible for assistance through national reserve grants.

B. Allowable Activities and Services

NRA funds may be used to provide services of the type described in section 314 of the Act. Conditions which will apply to the use of NRA funds to provide these services are summarized in the following table.

Activity/Service	General Policy	Exception to General Policy
RAPID RESPONSE	1. The performance of rapid response type activities is required in conjunction with all regular and multi-state NRA projects. 2. Rapid response is a State responsibility. As a general rule, grant funds will not be approved for the payment or reimbursement of rapid response costs.	Grant funds can only be used to pay for the costs of rapid response or similar services with the expressed authorization of the Grant Officer, based on justification provided by the applicant. Under-budgeting of rapid response from Governor's reserve funds will not be an acceptable justification.
READJUSTMENT AND RETRAINING SERVICES	NRA grant funds may be used to pay for the costs of services of the type described in JTPA sections 314(c) and (d).	
RELOCATION ASSISTANCE	1. Relocation assistance shall be an allowable use of funds only where an eligible dislocated worker cannot reasonably be expected to secure suitable employment in the commuting area in which the dislocated worker resides, **and** has obtained suitable	

	employment affording a reasonable expectation of long-term employment in the area in which the worker wishes to relocate or has obtained a bona fide offer of such employment. 2. Relocation assistance shall not be provided to individuals who are eligible for only Basic Readjustment Services under section 314(h)(1), or who are eligible under section 325A(f)(2)(A).	

Activity/Service	General Policy	Exception to General Policy
RELOCATION ASSISTANCE (cont.)	3. The cost of relocation assistance paid with NRA grant funds shall not exceed an amount which is equal to the sum of: (a) 90 percent of the reasonable and necessary expenses incurred in transporting the dislocated worker and the dislocated worker's family, if any, and household effects; **plus** (b) a lump sum payment equivalent to three times such worker's average weekly wage, up to a maximum payment of $800 per participant. 4. Necessary expenses shall be travel expenses for the dislocated worker and the dislocated worker's family and for the transfer of household effects. Reasonable costs for such travel and transfer expenses shall be by the least expensive, most reasonable form of transportation.	The Grant Officer may authorize the grantee to approve a larger amount of the lump sum payment on a case-by-case basis, based on policies and procedures submitted by the applicant/grantee and approved in advance by the Grant Officer.
OUT-OF-AREA JOB SEARCH ASSISTANCE	1. Out-of-area job search shall be an allowable use of NRA grant funds only for the purpose of assisting an eligible dislocated worker to secure a job within the United States. There must be a determination that the dislocated worker cannot reasonably be expected to secure suitable employment within the commuting area in which (s)he resides. 2. The cost of out-of-area job search shall be an allowable retraining services cost, but shall not provide for more than 90 percent of the cost of necessary and reasonable out-of-area job search expenses, and may not exceed a total of $800.	The Grant Officer may authorize the grantee to approve a larger amount of payment on a case-by-case basis, based on policies and procedures submitted by the applicant/grantee and approved in advance by the Grant Officer.
NEEDS-RELATED PAYMENTS	1. Needs-related payments shall be an allowable use of NRA funds in accordance with the provisions of TEGL	

	10-94, and any subsequent changes thereto. 2. Where the need of funds for needs-related payments crosses Program Years, the Department may release funds on an incremental and/or PY basis.	

C. Required Services

Each project funded with national reserve funds - except applications for DISASTER projects and ADDITIONAL FINANCIAL ASSISTANCE (AFA) - must provide the following activities and services prior to or in conjunction with project implementation:

1. Contact with employers and employee representatives affected by a dislocation or potential dislocation of individuals, preferably not later than 2 business days after notification of such dislocation;

2. Establishment of a mechanism for involving representatives of the affected workers, the employer and the community in planning the project;

3. Collection of information on affected individuals to determine the approximate number of such individuals in need of assistance and interested in receiving services. Such information should include items such as age ranges, education and skills, job tenure, and wage ranges to allow preliminary assessments of likelihood to seek and obtain employment in the local labor market.

4. As appropriate, arranging for orientation sessions, counseling services, and early intervention services for affected individuals.

These services must be provided as a condition for award of the grant. For State and substate applicants, these services should be provided by, or under the direction of, the State through its Dislocated Worker Unit. Other applicants will be expected to cover the cost of these services through non-grant funds, which may include a cooperative arrangement with the Dislocated Worker Unit(s) of affected State(s).

D. Integration of Resources

The large majority of regular and multi-state NRA grant projects should be funded from multiple sources, including Title III formula and other public and private funds. Specifically, grantees will be expected to make a maximum effort to assist each eligible participant to apply and qualify for available sources of student financial assistance, consistent with the provisions of §627.220 of the JTPA Regulations. It is important to note that student financial assistance not only provides more resources to the program, but also provides more resources, and expands the options, to the participant.

When an employer or other entity offers a tuition payment or tuition reimbursement program for the eligible workers, the grantee and/or project operator shall work with the employer/entity to establish an appropriate process for accessing the funds to pay for the costs of worker training.

E. Performance Outcomes

Each NRA grant project will be expected to achieve the end-of-project performance goals which are established by ETA for the applicable program year. For PY 1996, the performance goals are:

1. Entered Employment Rate = 75.0%

2. Wage Replacement Rate for Entered Employments = 90.0%

[**NOTE:** The "wage replacement rate is defined in Appendix J.]

3. Customer satisfaction rating of "extremely" or "very satisfied" with the services received = 70.0%

[**NOTE**: Each grantee will be required to establish or use a system of customer satisfaction measurement and continuous improvement in conjunction with the NRA project. The project-related costs of operating this system are chargeable to the grant under the "Administration" cost category. Appendix H provides suggested principles for the design and operation of such systems which have been established by the Enterprise Council.]

F. Administrative Requirements

1. General

Grantee organizations will be subject to the JTPA law, regulations, these guidelines, the terms and conditions of the grant and any subsequent modifications, to applicable Federal laws (including provisions in appropriations law), and any applicable requirements listed below --

a. State and local Governments (except for JTPA State grant recipients that receive national reserve grant funds under the JTPA State Grant Agreement "block grant")--OMB Circular A-87 (cost principles), and 29 CFR part 97 (Uniform Administrative Requirements for Grants with State and Local Governments).

b. Non-Profit Organizations--OMB Circulars A-122 (Cost Principles) and 29 CFR Part 95 (Administrative Requirements).

c. Educational Institutions--OMB Circulars A-21 (Cost Principles) and 29 CFR Part 95 (Administrative Requirements).

d. Profit Making Commercial Firms--Federal Acquisition Regulation (FAR)--48 CFR Part 31 (Cost Principles), and 29 CFR Part 95 (Administrative Requirements). In addition, the audit requirements at 20 CFR 627.480 shall apply to commercial recipients.

2. Financial Management

a. Cost limitations under section 315 of JTPA and 20 CFR 631.14 apply to national reserve grants, **except** where justification for adjusting these limitations is included in the grant application, or subsequent grant modification requests, and approved by the Grant Officer.

b. The limitation on administrative costs shall apply to the grant award, exclusive of funds expended for needs-related payments. This limitation applies to the total expenditures for program administration including any funds reserved by the State where it is the applicant but not the project operator. Any costs associated with administering a system of needs-related payments shall be separately identified in the application budget and justified. The Grant Officer may approve additional costs for the administration of needs-related payments, based on information provided by the applicant. For National Reserve Account grants, cost limitation compliance will be based on actual end-of-project expenditures.

c. NRA grant applicants should not automatically budget 15 percent of the award amount toward administration. Proposed costs in the budget must be reflected as either direct charges to specific budget line items or an indirect cost, in accordance with the Project Budget Line Item requirements described in Part III.

Consistent with §627.440(e) of the JTPA Regulations, grantees may use cost pools for the purpose of aggregating and allocating **actual** costs across two or more cost objectives/categories. However, projections of cost pool allocations are not an acceptable substitute for budgeting costs in accordance with the budget line item requirements.

d. If an indirect cost rate is applied in calculating administrative, or other, costs, a copy of the most recent approval document from the cognizant federal agency shall be included in the application. The documentation must include identification of the approved rate, the cost base against which it is applied, and the date on which the indirect rate was approved. Documentation must also include an identification of the organizational functions/costs covered by the indirect rate.

e. Profits or fees are not an allowable expense for grantee organizations. Profits or fees are allowable for profit organizations which are subrecipients or project operators, subject to the provisions of §627.420(e)(3) of the JTPA Regulations. However, no profits or fees will be allowed if the subrecipient or service provider is the employer, or a division or subsidiary of the employer, of the dislocated workers.

f. National reserve grant funds which have been expended for training prior to certification of Trade Adjustment Assistance (TAA) eligibility do not have to be reimbursed when TAA funds become available to cover the balance of the training. The source of funds used to pay these costs will be the decision of the grantee, in conformance with provisions of the Trade Act.

g. Unless otherwise waived by the Grant Officer, national reserve grant funds cannot be used to pay for the full cost of furniture or equipment that has a useful life which is longer than the grant period. Other funds should be used, as needed, for such purchases and an appropriate usage/depreciation charge should be applied to the grant.

3. Audit

Grantee organizations shall be responsible for complying with the audit requirements defined in §627.480 of the JTPA Regulations (as published in the September 2, 1994, Federal Register).

4. Reporting Requirements

a. The grantee will be required to comply with two reporting requirements related to each NRA grant project:

(1) Applicants should contact the appropriate Regional Office of the Employment and Training Administration (see Appendix A) for currently applicable reporting requirements. One signed original and one copy of applicable reports shall be provided to:

U.S. Department of Labor, ETA
Office of the Comptroller

Division of Accounting, Room C-5325
200 Constitution Ave., NW
Washington, DC 20210

One copy shall also be provided to the ETA Regional Office, ATTN: Regional Administrator.

(2) The grantee shall provide information required on the Standardized Program Information Record (SPIR) (OMB No. 1205-0321).

b. The grantee will be requested to provide the following additional performance information to the Grant Officer and to the Regional Office:

(1) One copy each of its periodic performance management reports on the project, consistent with the performance management procedures which are described in the approved grant. These reports should be provided no later than 30 days after the end of the report period.

At a minimum, the grantee's performance management procedures will be expected to address how the grantee will measure progress and manage performance against the project's objectives as defined in the approved Implementation Schedule and the Cumulative Quarterly Expenditure Plan.

(2) An End-of-Project Report providing a summary analysis of the accomplishments of the project in relation to its goals, strengths and weaknesses in project design and implementation, and suggestions for improvements in the NRA grants management process. This report should be provided no later than 90 days after the end date of the project.

G. State Review

1. Responsibility

Where the applicant is an entity other than the State JTPA administrative entity, the State, in its role of managing the use of Title III resources in the State to provide services to eligible dislocated workers, will be expected to provide comments on the application. The JTPA Liaison shall submit with each application for NRA grant funds a letter providing his/her comments on the application. The applicant will submit the application to the State JTPA administrative entity for review (see Appendix B: List of State JTPA Liaisons and Appendix C: List of State Dislocated Worker Units). In the case of a non-State entity submitting an application for a multi-State project, the applicant will submit the application to the State JTPA administrative entity in **each** state in which the project will operate.

The State's review and comments should include:

- a determination that the application is complete and responsive to the guidelines (a completeness review checklist is included in Appendix G);
- an assessment of the responsiveness of the project plan to the dislocation event;
- a verification that the applicant has the ability to satisfactorily undertake the proposed project;
- a certification that available State and local resources are inadequate to meet the requirements of the proposed project; and
- a certification that the required services identified in Section II.C have been or are being provided.

The State's review and determination letter must be included in the application package. **[NOTE: This requirement shall not apply to applications submitted by eligible Native American grantees.]**

2. Timing

The State should, and is strongly urged to complete the review and forward the application to the Grant Officer, with a copy to the appropriate Regional Office, within 15 calendar days after receiving a complete application.

PART III. APPLICATION REQUIREMENTS

To be considered for funding, the application must include the information identified in this part. This part defines separate submission requirements for each of the types of applications for NRA grant funds: REGULAR (section III.A), DISASTER (section III.B), MULTI-STATE (section III.C), AFA (section III.D). Each of these sections describes the requirements for standard Title III projects. Additional requirements associated with DDP and Clean Air projects are described in sections III.E and III.F, respectively.

If an applicant plans to operate a project through more than one project operator (see definitions in Appendix J), each project operator shall be identified and a separate budget and implementation schedule provided. Where appropriate, description of separate target groups and service processes for each project operator shall also be provided. In all cases, the applicant must also include a summary budget and implementation schedule for the entire project.

The following table summarizes the standard submission requirements for each type of application. A more complete description of the requirements is provided in sections III.A-F.

Required in Application	Regular	Disaster	Multi-State	AFA
State's Review and Comment Letter	XX	XX	Levels 1 & 2	
Application Completeness Checklist	XX	XX	Levels 1 & 2	XX
Applicant's Transmittal Letter	XX	XX	Levels 1 & 2	XX
Signed Standard Form (SF 424)	XX	XX	Levels 1 & 2	XX
Signed Assurances and Certifications	XX	XX	Level 1	XX
Project Synopsis	XX	XX	Levels 1 & 2	
Status in Providing Required Services	XX		Level 2	

Analysis of Target Group	XX		Level 2	
Analysis of Labor Market Conditions	XX		Level 2	
Description of Client Service Process	XX	XX	Level 1	
Description of Needs-Related Payments	XX		Level 2	
Description of Relocation/Out-of-Area Job Search Assistance	XX		Level 2	

Required in Application	Regular	Disaster	Multi-State	AFA
Description of Project Operator Management Process	XX		Level 1	
Description of Coordination & Linkages	XX		Level 2	
Verification of Financial and Management Capabilities	XX		Level 1	
Description of Implementation Plan	XX	XX	Level 2	
Implementation Schedule	XX	XX	Level 2	
Budget	XX	XX	Levels 1 & 2	
Description of State's Administrative Responsibilities	XX	XX	Level 2	
Documentation of Substate Review	XX		Level 2	
Documentation of Labor Consultation	XX		Level 1	
Identification of Substate Areas for which Funding is being Requested		XX		XX
Description of Temporary Jobs, Number of Individuals to be Hired in Jobs, Recruitment & Selection Procedures		XX		
Plan Identifying Planning and Organizing Activities and Timeframes for Completing Them			Level 1	

Assurance that Funds will not be Used to Provide Services to Displaced Homemakers during Period that AFA Funds are Available				XX
Funding and Participation Summary				XX

A. Regular Projects

1. State's Review and Comment Letter

A letter from the State which indicates support for the application, assures that State and substate formula funds are inadequate to fully respond to the dislocation event(s) covered in the application, and verifies that the required services identified in Section II.C. have been, are being or will be provided. **[NOTE: This letter will not be required for applications submitted by eligible Native American grantees.]**

2. Transmittal Letter

A letter requesting national reserve funds on behalf of the applicant, signed by the Governor (or his/her authorized JTPA signatory official), or by the applicant's authorized signatory must accompany the application. [NOTE: Where the applicant is the State, the Review and Comment and Transmittal requirements may be covered in one letter.]

3. Standard Form (SF 424)

Each application must include a completed SF 424, Application for Federal Domestic Assistance (Catalogue No. 17.246) with an original signature by the authorized signatory. This form is found in Appendix D.

4. Assurances and Certifications

Each application must include an original signed copy, by the authorized signatory, of the "Assurances and Certifications for National Reserve Grants." A copy of these assurances and certifications is included in Appendix E. Non-State grantees will be required to complete additional assurances and certifications, where applicable.

5. Synopsis of the Project

Each application must include a summary identification of the following information: Name of Applicant, Name and Phone Number of Applicant's Contact Person; Project Name; Amount of Funding Requested; Grant Type, Project Type, and Type of Funding Mode; Name, Address, Phone Number and Name of Contact for Project Operator and, if different, Project Location; County(ies) of Residence of Affected Workers; Name of Layoff Company(ies), Address(es) of Layoff Facility(ies), Layoff Dates and Number of Affected Workers by Layoff Date; Labor Organization Representation; Major Occupations of Employment of Dislocated Workers, Principal Occupations in which Retraining is Planned; Number of Planned Participants; Cost per Participant and Cost per Entered Employment; Planned Entered Employment and Wage Replacement Rates; Planned Starting and Ending Dates for Project. A suggested "Project Synopsis" form is included in Appendix F.

6. Project Narrative

The narrative portion of the application, excluding attachments, should not exceed thirty (30) double-spaced pages, typewritten in standard business letter typeface on one side of the paper only, and paginated. The narrative must specifically address each of the elements listed below. Use of tables and charts to summarize relevant data and information is strongly encouraged. However, the applicant must provide sufficient narrative interpretations of data summarized in any tables and charts to support the need for the project and the effectiveness of the planned service strategy.

The project narrative shall include:

a. *Required Services.* A description of the specific actions which have been completed regarding the required services described in section II.C of these guidelines. The description should address the following:

(1) On-site planning meetings have been held with representatives of workers, employers, and the community, and identification of those who participated in these meetings.

(2) Pre-layoff or early intervention information and services that have been provided, and the number of workers who participated.

(3) A summary of the information that has been gathered about and from the workers regarding backgrounds, interests and assistance needs.

(4) The mechanisms that have been and/or will be used to ensure worker involvement in planning and implementing the project.

If all required services have not been completed at the time of submitting the application, a timetable for completing them must be included in the application.

b. *Analysis of Target Group.*

(1) A description of how the number of affected workers who are expected to participate in the program was determined. The description should use information collected under the required services in section II.C of these guidelines. The description must include an identification of the total number of affected workers, the number to be served, and the rationale for the estimate of participants. Factors which may influence participation levels include: the number likely to be transferred to other employment with the employer, the number likely to be recalled, and the number with locally transferrable skills who will require limited or no assistance under the grant to find a new job.

(2) Where layoffs have occurred more than 4 months prior to the submittal of the application to the State (or DOL if the State is the project operator), the application shall describe the methods which are being and will be used to maintain continuing contact with the workers.

(3) Identify if all or part of the dislocation is potentially trade-impacted. Indicate the status of any NAFTA and/or TAA petitions which have been filed or planned to be filed in conjunction with this dislocation.

(4) If the proposed target group includes workers dislocated as a result of the relocation of a company facility or the transfer of a company operation to another

location, the city and State to which the relocation or transfer is being made shall be identified. [**NOTE: This information will not be used to evaluate the application, but is being requested to help the Department enforce section 141(c) of the Act.**]

c. *Analysis of Labor Market Conditions.* A brief description of local labor market conditions, including any other job markets in which job placement is an appropriate option for the affected workers. The analysis should identify the major occupations or occupational groups which are high probability opportunities for training and placement of participants.

d. *Description of Client Service Process.* A description of the client service process to be used for effective training and job placement of the population to be served. The description shall include:

(1) an identification of core service components and decision points/criteria for determining the appropriateness of each service component for an individual worker [This can be described in narrative or graphically displayed in a participant service flow chart or process map.];

(2) an identification of specific procedures, methods and responsibilities for: outreach and recruitment, assessment and service planning, and job development;

(3) a description of policies and/or actions to be used by the project operator(s) which are designed to support the goal of individualized service and customer choice.

e. *Needs-Related Payments.* A description of how the estimate of the funds required for needs-related payments to the participants to be served through the project was developed. The description should include an identification of the estimated number of participants who will need or be eligible for needs-related payments, and the applicant's policies for payment of needs-related payments.

f. *Relocation/Out-of-Area Job Search Assistance.* If relocation and/or out-of-area job search assistance are to be provided, a description of the circumstances that make these appropriate services for the target group.

g. *Management Process.* A description of the core management process and procedures to be used by the project operator in implementing the project and in managing and controlling project performance and expenditures. These procedures must include mechanisms for measuring project performance in relation to the participant service and expenditure objectives defined in the Implementation Schedule and Cumulative Quarterly Expenditures Plan.

h. *Coordination and Linkages.*

(1) For States and Title III substate grantee applicants, a description only of coordination relationships which go beyond those that are described in the Title III State or substate plan.

(2) For other applicants, a signed statement from the State Dislocated Worker Unit and/or the applicable Title III substate grantee that the level of coordination relationships which have been, or are being developed is adequate.

i. *Financial and Management Capabilities.* For applicants who are neither the State nor a Title III substate grantee, a description of financial and management capabilities of the applicant. The description must include:

(1) an organizational and staffing chart, or comparable description, indicating how grant and project management responsibilities will be assigned and performed;

(2) a description of current or previous relevant experience in administering or implementing projects providing services to dislocated workers - or employment and training programs generally, including size of project(s) and outcomes achieved;

(3) a description of the applicant's systems for ensuring the integrity of funds awarded through a national reserve grant, and for maintaining and reporting required fiscal and participant information;

-- an identification of bonding coverage which is in effect or will be put into effect in conjunction with a grant award;

-- a description of the applicant's procurement policies and procedures.

7. Implementation Plan

The application shall include the following implementation information:

a. An identification of activities, timeframes and responsibilities for implementing the project in a timely manner after award. The activities must include organization and opening of service facilities, staffing, and the execution of agreements with key service providers.

b. A quarterly implementation schedule showing the following:

(1) estimated cumulative goals by program year quarter for:

-- total participants,
-- total enrollments in training,

-- enrollments in classroom training,

-- enrollments in OJT,

-- participants receiving needs-related payments,

-- total terminations;

(2) estimated end-of-project goals;

-- total participants receiving Basic Readjustment Services (BRS),

-- enrollments in basic/remedial skills training,

-- total participants receiving relocation assistance,

-- total participants receiving out-of-area job search assistance,

-- total participants receiving supportive services,

-- total entered employments.

A suggested implementation schedule format is provided in Appendix F. If there is more than one project operator, a separate implementation schedule must be submitted for the total project and for each project operator.

8. Project Budget

The application must include a budget for all costs required to implement the project design effectively, as described in the preceding sections.

a. *Cost Classification.* Costs must be classified under the following cost categories: Administration, Basic Readjustment Services, Retraining, and Supportive Services and Needs-Related Payments as defined in 20 CFR 631.13.

b. *Budget Information.* The application shall include the following completed budget information:

(1) **Project Line Item Budget**, which shall reflect the total costs required to implement the project design that are to be paid with NRA grant funds.

(2) **Service Plan Matrix**, which shall identify the specific activities and services in the project design and the planned funding sources for each.

(3) **Planned Cumulative Quarterly Expenditures of NRA Grant Funds**, which shall provide a quarterly expenditure plan for the use of NRA grant funds, identified by cost category.

Collectively, these budget forms present a total cost picture to implement the project and indicate how NRA funds will be integrated with other available sources of funds. Suggested templates for the submission of required budget information are included in Appendix F. If these templates are not used, the applicant must submit budget information at the same level of detail indicated on the templates.

c. *Justification for Requested NRA Funds.* The application shall include information which justifies the level of requested NRA funds in relation to other available Title III funds in the State. The information shall include an identification of available formula and NRA funds, actual obligations and expenditures, and projected need for unexpended funds. A suggested template for presenting this information is included in Appendix F. Available Title III funds in the State shall include the funds allotted by formula at the beginning of the Program Year plus any carryover funds from previous PYs. Available Title III funds shall also include any Title III funds which have been transferred to other Titles as under the provisions of TEGL 7-95, and any modifications thereto (see also Section I.A.6).

d. *Use of Grant Funds for Pre-Award Costs.* The applicant may request approval from the Grant Officer for use of grant funds to pay for costs of providing services to the target group which have been incurred prior to issuance of the Notice of Obligation (NOO). In this case, **the applicant shall submit two sets of the required budget forms: one which includes requested pre-award costs, and one which does not include these costs**. The applicant must provide a detailed explanation of why grant funds are needed to cover these costs. If the Grant Officer approves the request, such costs will be specifically identified in the grant award document. If the applicant does not request and the Grant Officer does not approve the use of grant funds for such costs, then grant funds cannot be used to pay for any such costs. Grant funds can not be used to pay for the costs of the required rapid response services.

e. *Justification for Project Design Performance.* The applicant must provide information which compares the planned design and performance for the project with performance information for the formula program for the most recently completed Program Year in the substate area, or State if appropriate, in which the project is to be implemented. If the planned performance for this project varies from the related experience on the formula program by more than ten percent (10%), the applicant must provide an explanation, including supporting documentation, of the factors which are causing the differences in performance. Performance factors to be addressed must include: cost per participant, entered employment rate, cost per entered employment, average wage at placement, average duration of participation, and maximum amounts of needs-related payments which can be paid to an individual participant. A suggested template for presenting this analysis is included in Appendix F.

9. Description of State's Administrative Responsibilities

The application shall include an identification of the individual(s) within the State administrative entity who will be responsible for the required oversight activities, as described in Part VI of these guidelines.

The State is expected to perform the following core responsibilities related to each NRA project for which the State is the grantee:

- maintain participant and financial information and submit required reports;
- ensure compliance of project operations with applicable statutory and regulatory requirements;
- carry out the required project site visits;
- provide needed technical assistance to the project operator(s).

If the State is performing only these core responsibilities in conjunction with the project, it may receive no more than 1.5% of the approved grant funds, up to a maximum amount of $25,000.

If the State is performing more than the core administrative responsibilities and/or wants to request more than $25,000 in NRA grant funds for State-level administration, it must include in the application:

a. a detailed description of the additional administrative responsibilities to be performed and a timetable for undertaking and completing them;

b. a line-item budget identifying the costs of the State-level administrative responsibilities;

c. an explanation of why these responsibilities are more appropriately performed at the State level instead of by the project operator;

d. a certification that State formula funds are not available to cover the costs;

e. a signed letter from the project operator(s) commenting on the proposed plan for performing project administrative functions.

10. Review and Comment

Each application shall include documentation of the following review and comment requirements:

a. SUBSTATE GRANTEES. The application must include letters from the Governor (or his/her designated signatory official for JTPA) and each appropriate JTPA Title III substate grantee indicating that they have been provided an opportunity to review and comment on the application. Each letter shall provide a description of funding, services and/or assistance to be provided to the project.

b. LABOR ORGANIZATIONS. Each application where a substantial number (20% or more) of the affected workers are represented by a labor organization(s) must provide documentation of full consultation with each appropriate local labor organization in the development of the project design.

B. Disaster Projects

1. Eligible Circumstances

Applications may be submitted for NRA funds to provide assistance in response to the following disaster events:

a. Federally declared natural disasters (e.g., floods, hurricanes, earthquakes, etc.); or

b. other situations in which the Secretary of Labor determines that an occurrence has caused massive devastation and economic dislocation to a community. Under such circumstances, the Secretary, with the Governor(s) of the principal State(s) affected, may decide to mount special programs to demonstrate that Title III funds can be used to assist the affected communities. Such programs shall be designed to enable affected workers to return to their regular employment as soon as possible.

2. Policies Governing the Use of Grant Funds

a. Grant funds on disaster projects may be used for any services of the type described in sections 314(c), 314(d), and 314(e) of the Act. Individuals who are "eligible dislocated workers," as defined in section 301(a) of the Act shall be eligible for these services.

b. Temporary job creation. The Department expects that the primary service strategy for a disaster dislocated worker project will be the establishment of special temporary jobs that would benefit the public through clean-up activities.

(1) *Purpose and types of temporary jobs.* Such jobs shall provide assistance in community repairs, reconstruction, restoration and cleanup to enable resumption of regular employment, community services to assist individuals affected by the disaster such as food and clothing distribution, child care, and other forms of humanitarian assistance, and clerical support to accomplish such assistance. It is in the interest of the public and affected individuals, and the Department expects, that these jobs be filled as rapidly as possible. Work on private property may only occur where it is needed to restore the operation of public services (e.g., utilities) or where there is a clear safety hazard to the larger community (e.g., falling trees).

(2) *Eligibility.* The temporary jobs are to be filled consistent with Section 301(a) of the Act. Therefore, for purposes of eligibility for temporary jobs under disaster projects, individuals who have become unemployed because of the disaster event, shall meet the eligibility requirements.

(3) *Duration and wage limits of special temporary jobs.* The policies on wage and duration of temporary jobs are defined in TEIN 28-93, and any subsequent changes thereto. The employer of record for such temporary jobs is limited to public and private, non-profit agencies. For PY 96, an individual worker may be employed in such a job for up to six months duration, but may not receive more than $12,000 in temporary job wages paid with NRA grant funds.

3. Application Submission Requirements

An application for disaster project funds shall include the following:

a. A *Transmittal Letter*, signed by the Governor (or his/her authorized JTPA signatory official), requesting national reserve funds, and indicating acceptance of full responsibility for effective administration of the funds requested in the application.

b. A signed original *Standard Form* (SF 424). A copy of this form is found in Appendix D.

c. An original signed copy of the *Assurances and Certifications*. A copy of these assurances and certifications is included in Appendix E.

d. *Synopsis of the Project*. A description of this information is provided in A.5; a suggested form for submitting the information is included in Appendix F.

e. *Project Narrative.* The narrative must specifically address each of the elements listed below. Use of tables and charts to summarize relevant data and information is strongly encouraged. However, the applicant must provide sufficient narrative interpretations of data summarized in any tables and charts to support the need for the project and the effectiveness of the planned service strategy. The project narrative shall include:

(1) A description of the disaster circumstances and an identification of the specific substate area(s) in which disaster assistance funds will be used;

(2) For planned temporary jobs, an identification of:

-- number of individuals to be employed in temporary jobs;

-- types and location of temporary jobs, and a certification that all job sites will meet applicable occupational safety and health requirements;

-- wage ranges to paid in major job categories;

-- employer organizations and/or criteria to be used in selecting employer organizations;

-- policies and procedures to be used to select eligible workers to fill temporary jobs;

(3) For other activities and services:

-- an identification of the number of individuals to receive such services;

-- an identification of core service components and decision points/criteria for determining the appropriateness of each service component for an individual worker [This can be described in narrative or graphically displayed in a participant service flow chart or process map.];

-- a description of how the grantee will identify and recruit affected eligible workers to be served;

(4) Identification of the State entity that will be responsible for the overall administration of the project;

(5) Description of the monitoring plan for the project, including the monitoring schedule and steps that will be taken to ensure the integrity of fund usage and project activities.

f. *Implementation Plan.* The application shall include the following implementation information:

(1) An identification of activities, timeframes and responsibilities for implementing the project in a timely manner after award. The activities must include organization and opening of service facilities, staffing, and the execution of agreements with key project operators and service providers.

(2) A monthly implementation schedule showing the following:

-- estimated cumulative goals by month for: total participants, enrollments in temporary jobs, total enrollments in training, enrollments in classroom training, enrollments in OJT, participants receiving needs-related payments, total terminations;

-- estimated end-of-project goals for: total participants receiving Basic Readjustment Services (BRS), enrollments in basic/remedial skills training, total participants receiving relocation assistance, total participants receiving out-of-area job search assistance, total participants receiving supportive services, total entered employments.

A suggested implementation schedule format is provided in Appendix F. If there is more than one project operator, a separate implementation schedule must be submitted for the total project and for each project operator.

g. *Project Budget.* The application shall include the following budget information:

(1) **Project Line Item Budget**, which shall reflect the total costs required to implement the project design that are to be paid with NRA grant funds.

(2) **Service Plan Matrix**, which shall identify the specific activities and services in the project design and the planned funding sources for each.

(3) **Planned Cumulative Quarterly Expenditures of NRA Grant Funds**, which shall provide a quarterly expenditure plan for the use of NRA grant funds, identified by cost category.

The wages paid to participants in temporary jobs shall be entered under "Other" and the explanation should indicate "Retraining/Temporary Jobs." The costs should be charged to the "Retraining" cost category.

C. Multi-State Projects by Non-State Applicants

1. Background

The guidelines for development and submission of regular applications for National Reserve Account (NRA) funds require a high level of local area-based planning to receive funds, and, to a large extent, assume that applications will be submitted by States as a result of rapid response activity. This section provides an alternative grant application approach to respond to multi-state dislocations which are characterized by two or more of the following conditions:

- The dislocations are occurring across State boundaries in multiple sites, often over extended periods of time, and there is a need to provide services across State boundaries.
- The application is being submitted by an employer, employer association or labor organization representing affected workers at multiple sites.
- The workers at a multi-site, national employer are subject to working conditions (including geographical transfers and mobility), compensation and benefits that are not locally determined.
- There are bumping rights agreements in effect which make it difficult to know how many layoffs will occur at specific sites because individuals employed at a closure or layoff site may have the right to transfer and "bump" individuals at other sites which may or may not be subject to planned layoffs.
- The employer is willing to make substantial contributions of its own funds to provide assistance if a standard, equitable intervention can be provided for all affected workers with other funding assistance.

This approach recognizes the need to facilitate maximum use of the decentralized structure which is the foundation for the dislocated worker service delivery system, while adequately responding to the unique circumstances represented by multi-state dislocations.

2. Funding Approach

The Department will use an incremental funding approach for situations which meet the criteria of a multi-state dislocation (referenced in C.1), and where:

- no single State is willing or able to accept the responsibility of providing or coordinating a response; and

- the applicant is able to demonstrate a service approach with unique elements and worker-related benefits that are not achievable through a decentralized service-delivery approach.

a. *Planning and Organizing Activities.* A limited amount of funds (Level 1) will be made available for planning and organizing assistance in cases where the use of State rapid response funds is not feasible or adequate. These funds will be provided to support a specific set of project planning and organizing activities by the grantee. Level 1 funds cannot be used to provide retraining, basic readjustment, or supportive services to eligible dislocated workers. Applicants will be expected to develop relationships with applicable States to coordinate planning and organizing activities under the grant with rapid response assistance that will be provided by each State, including required rapid response to layoffs of 50 of more individuals.

DOL will not consider a request for Level 1 funding which is in excess of five percent of the total funds estimated to be needed to implement the full project (including basic readjustment and retraining services). The amount of funding for Level 1 will be based on the scope of activities and the supporting budget. All expenditures of Level 1 funds will be charged to the "administration" cost category.

b. *Participant Services.* Funding for the provision of retraining, basic readjustment services, supportive services and needs-related payments to eligible dislocated workers will be made available as site-based assistance plans are developed and submitted by the grantee. Under exceptional circumstances, the Grant Officer may authorize the release of limited funds for participant services prior to receipt of site-based assistance plans. Such authorization will be based on information provided by the grantee and will be subject to restrictions established by the Grant Officer. Grantees should not assume that grant funds will be approved for expenditures incurred prior to receiving the Grant Officer's authorization.

DOL will execute a grant to a successful applicant based on an approved plan for Level 1 funding, which shall include an estimated budget for the full project. The grant will reflect an obligation of the approved funds for Level 1 activities, and will include a special condition indicating the award of funds "up to" an approved amount for both Level 1 and Level 2. The applicant will only be able to access funds for the approved Level 1 amount. Level 2 funds will be accessed as site-based, or layoff-specific assistance plans are submitted by the grantee and approved by the Department.

Receipt of Level 1 funding does not guarantee receipt of Level 2 funds. Level 2 funding will be authorized if Level 1 activities are satisfactorily performed, and as acceptable site-based plans are submitted.

Site-based assistance plans for Level 2 funds will be submitted as modifications to the executed grant. Obligations will be added to the grant consistent with approved project plans and budget amounts, and the grantee will be able to access these additional funds for providing retraining and reemployment services. While the Department is not placing any specific time limits on the submission of site-based assistance plans, it is generally expected that all requests for Level 2 funds will be submitted within eighteen months of the Level I grant award. The Grant Officer may establish time limits other than eighteen months, depending upon the specific situation. The Department expects that funds awarded under this approach will be expended within the three program year time limit on fund availability. Any projects which would require longer than this time period to be implemented and completed should be designed and submitted as separate applications.

3. Application Submission Requirements

The submission requirements for Level 1 funds, and the additional submission requirements for Level 2 funds are summarized in the table on the following page.

a. REQUIREMENTS FOR LEVEL 1 FUNDS

For the identified submission elements for Level 1 funds, the requirements and instructions are the same as for regular projects, except as follows:

(1) The *State Review and Comment Letter* must reflect an "Agreement in Principle" to provide available formula funds to support the project, or to indicate that available formula funds are not sufficient to meet the expected need for assistance; and to participate actively in the delivery of services, including rapid response, to the affected workers. Although the "Agreement" should indicate support for the proposed project, it shall also include a commitment by the State to facilitate the participation of applicable substate areas within the State in implementing the project. An "Agreement in Principle" must be provided for each State in which layoffs are expected to occur.

(2) The *Transmittal Letter* shall include an assurance that the employer(s) will continue to provide outplacement and transitional assistance to workers that they have provided in the past; or, if not, an explanation of why such assistance cannot be provided.

(3) The *Description of the Client Service Process* shall also include a description of unique or distinguishing service strategies and methods to be used, and an explanation of service elements that cannot be expected to be available to affected workers through the decentralized, State and substate area-based service delivery system, and why these elements are critical to serving the affected workers effectively.

(4) The *Workplan of Planning and Organizing Activities* shall identify the specific activities for which Level 1 funding is being requested, and shall provide a schedule for beginning and completing each activity.

(5) The *Budget* information shall identify employer resources which will be contributed to the project and identify outplacement and other transitional assistance to be provided to affected workers by the employer.

(6) Since eligible applicants for these grants do not include States, the *Description of Financial and Management Capability* shall include:

- an organizational and staffing chart indicating how grant and project management responsibilities will be assigned and performed;

- a description of current or previous relevant experience in administering or implementing projects providing services to dislocated workers - or employment and training programs generally, including size of project(s) and outcomes achieved;

- a description of the applicant's systems for ensuring the integrity of funds awarded through a national reserve grant, and for maintaining and reporting required fiscal and participant information;

- an identification of bonding coverage which is in effect or will be put into effect in conjunction with a grant award;

- a description of the applicant's procurement policies and procedures that will be used in conjunction with the grant.

b. REQUIREMENTS FOR LEVEL 2 FUNDS

For the identified submission elements for Level 2 funds, the requirements and instructions are the same as for regular projects. This information shall be developed and submitted for individual sites/locations in which projects will operate.

Application Submission Requirements: Multi-State Projects

Level 1 Funds	ADDITIONAL FOR LEVEL 2 FUNDS (to be submitted for each site)
♦ Review & Comment Letter from each State, including "Agreement in Principle". ♦ Transmittal Letter from authorized signatory. ♦ Standard Form (SF 424) for full funding amount (Level 1 and Level 2), signed by authorized signatory. ♦ Signed Assurances and Certifications. ♦ Narrative including: -- site locations of planned layoffs; -- total number of workers to be laid off; -- planned or expected schedule of layoff dates; -- total number of planned participants and rationale for estimate in relation to total number of affected workers; -- description of client service process, including unique or distinguishing service strategies or methods. ♦ Workplan of planning and organizing activities and timeframe for completing them. ♦ Documentation of support from each labor organization representing 20% or more of affected workers.	♦ Description of required services completed to date and/or plan for completing them. ♦ Analysis of target group. ♦ Analysis of local labor market conditions. ♦ Description of client service process, including procedures and responsibilities for: outreach and recruitment, assessment and service planning, and job development. ♦ Description of basis for estimate of needs-related payments. ♦ Description of rationale for any relocation or out-of-area job search assistance to be provided. ♦ Description of project operator's core management process and procedures. ♦ Description of coordination and linkages, including with State and substate grantee(s). ♦ Activities, timeframes and responsibilities for implementing the site-based project in a timely manner. ♦ Completed quarterly Implementation Schedule. ♦ Completed budget forms (Level 2 funds only):

♦ Completed budget forms: -- **Project Line Item Budget** and **Service Plan Matrix**, for total requested funds (Level 1 and Level 2); -- **Planned Cumulative Quarterly Expenditures of NRA Grant Funds**, for requested Level 1 funds only. ♦ Description of applicant's financial and management capability.	-- **Project Line Item Budget**; -- **Service Plan Matrix**; -- **Planned Cumulative Quarterly Expenditures of NRA Grant Funds**. ♦ Justification for level of requested NRA funds ♦ Justification for planned cost per participant, if appropriate. ♦ Documentation of review by each applicable substate grantee.

D. Requests for Additional Financial Assistance

1. Eligible Circumstances

NRA grant funds may be used to provide Additional Financial Assistance (AFA) to formula-funded programs and activities provided by Title III State and substate grantees. AFA applications may be submitted for the full State or for a substate grantee area.

To be eligible for a statewide AFA, there must be an increase of at least 20% in at least one of the three factors in the formula used by the Department to allot funds among the States in accordance with section 302(b) of the Act. [The factors are: the relative number of unemployed individuals residing in the State as compared to the number of unemployed individuals residing in all States; the relative excess number of unemployed individuals residing in the State as compared to the total excess number of unemployed individuals in all States; and the relative number of individuals unemployed 15 weeks or more who reside in the State compared to the number of such individuals in all States.]

To be eligible for an AFA for a substate grantee area, there must be an increase of at least 20% in at least two of the six factors required in the substate distribution formula in accordance with Section 302(d) of the Act. [The factors are: number of insured unemployed; unemployment concentration; plant closings and mass layoffs; declining industries; farmer-rancher economic hardship; and long-term unemployment.]

The data used to support any request for AFA funds shall be for the most recent 12 month period for which data are available. Such a period shall be a 12 month period that is more recent than the 12 month period used by the Department for the most recent formula allotment, or by the State for the most recent substate allocation.

There cannot be more than a six month overlap between the most recent 12 month period and the 12 month period used by the Department or the State.

2. Policies Governing the Award of AFA Grants

a. AFA grants will only be awarded to States.

b. A State cannot receive an AFA grant for the same service area (e.g., statewide, substate area) more than once in any program year.

c. A State or substate grantee area shall not be eligible for AFA funds if funds were reallotted from the State or reallocated from the substate area in the preceding program year.

d. AFA funds will be treated as an addition to formula funds and will be subject to the requirements in sections 106(c), 314 and 315 of the Act. AFA funds may not be requested for a single activity.

e. AFA funds will be used in accordance with the approved State or substate plan in effect during use of the funds.

f. The period of an AFA grant will be the date of award to the end of the Program Year in which the award is made.

g. The State or substate grantee shall not enroll any individual whose eligibility is based on section 301(a)(2) of the Act (i.e., displaced homemaker) during the period in which AFA funds are available for expenditure.

h. The maximum amount of AFA funds which will be awarded is the difference between the formula allocation and the amount which would have been allocated if the more recent 12 month data were used to calculate the formula allocation.

3. Application Submission Requirements

The following information shall be included in an application for AFA funds:

a. *Transmittal Letter*

A letter requesting national reserve funds on behalf of the applicant, signed by the Governor (or his/her authorized JTPA signatory official) must accompany the application. The letter shall indicate acceptance of full responsibility for effective administration of the funds requested in the application, and shall certify that no individuals whose eligibility is based on section 301(a)(2) of the Act shall be enrolled in formula or AFA funded activity during the period in which AFA funds will be available for expenditure.

b. *Standard Form (SF 424)*

Each application must include a completed SF 424, Application for Federal Domestic Assistance (Catalogue No. 17.246) with an original signature by the authorized signatory. This form is found in Appendix D.

c. *Assurances and Certifications*

Each application must include an original signed copy, by the authorized signatory, of the "Assurances and Certifications for National Reserve Grants." A copy of these assurances and certifications is included in Appendix E.

d. *Application Narrative*

(1) Identify the substate area or areas for which AFA funding is being requested.

(2) For each area, provide a table which compares the data on the applicable formula factors between the 12 month period on which the formula allocation was based and the more recent 12 month period on which the request is based. Identify the source(s) of the data for the most recent 12 month period.

e. *Funding and Participation Summary*

Each application shall include a completed AFA Funding and Participation Summary (a suggested form is included in Appendix F).

E. Additional Requirements for 325A (DDP) Projects

1. Needs-Related Payments

Each application for a project to be implemented in accordance with section 325A of the Act shall include the calculations on which the estimated amount of needs-related payments is based. (A copy of a suggested template, "Needs-Related Payment Template for DDP and CAETA Applications," is included in Appendix F.)

2. Skills Upgrade Training for Current Non-Managerial Workers

An application which includes skills upgrade training in accordance with section 325A(f)(2) of the Act shall include the following:

a. A description of the conversion plan which is being implemented by the employer;

b. An identification of the positions and number of workers who will receive skills upgrade training;

c. A description of the new job performance requirements of the workers related to the conversion plan, and of the skills to be developed through the training [NOTE: Although not a requirement in the application, each grantee will be required to submit a detailed training plan.];

d. An assurance that the employer will maintain its expenditures for staff training at the level of the fiscal year preceding submission of the application.

3. High Performance Workplace and Conversion Planning Activities

If the applicant proposes to use grant funds for these activities, the application must include a description of the specific nature of each such activity including the objective of the activity in averting worker layoffs.

F. Additional Requirements for 326 (CAETA) Projects

1. Needs-Related Payments

Each application for a project to be implemented in accordance with section 326 of the Act shall include the calculations on which the estimated amount of needs-related payments is based. (A copy of a suggested template, "Needs-Related Payment Template for DDP and CAETA Applications," is included in Appendix F.)

PART IV. FUNDING METHODS

The Department will make national reserve funds available through one of three methods: full funding, incremental funding, emergency funding.

A. Full Funding

Under this method, the Department will issue a Notice of Obligation (NOO) to the grantee for the full amount of approved grant funds. For grantees not covered under the Governor-Secretary Agreement, ETA will establish an account against which the grantee can electronically draw down funds after the grant document is finalized and signed by all parties.

B. Incremental Funding

Incremental funding of an application can occur at the request of the applicant or at the discretion of the Secretary. Incremental funding shall only apply to regular and multi-state applications. Increments can be based on incremental Notices of Obligation (NOO) to the grantee, or on incremental release of funds against an NOO which has been issued as the grantee satisfies additional requirements for release of the funds. For non-governmental entities who are grant recipients, funding increments will require modifications to the grant document.

1. Incremental Funding at the Request of the Applicant

Examples of circumstances in which the applicant may want to request use of an incremental funding approach are:

- Multi-state applications in which the request is for Level 1 funds or for Level 2 funds for fewer than the total number of expected sites;
- Other situations in which the scope and timing of layoffs are uncertain, and the applicant is able to submit a complete application for only part of the full expected dislocation.

The requirements for funding increments under multi-state applications are described in section III.C of these guidelines. The following table summarizes the submission requirements for regular applications and identifies those that must be submitted in order to access any portion of requested funds. A request for partial funding should identify the amount of funds needed in the first increment. The Department will be willing to provide an initial funding increment, based on the amount of needed funds, for up to two quarters of the planned project in accordance with the submitted Planned Cumulative Quarterly Expenditures of NRA Grant Funds. Additional funding will be contingent on submission and approval of the additional information required in a complete application.

Application Submission Requirements for Incremental Funding Requests

Submission Requirements for Regular Applications	Required in Request for Incremental Funding?
State Review and Comment Letter	YES
Signed Transmittal Letter	YES
Signed Standard Form (SF 424)	YES
Signed Assurances and Certifications	YES
Synopsis of the Project	YES
Required Services	YES
Analysis of Target Group	YES: # of affected workers, layoff dates to the extent known, # of planned participants and rationale for estimate
Analysis of Labor Market Conditions	NO
Description of Client Service Process	NO
Needs-related Payments	NO
Relocation/Out-of-Area Job Search Assistance	NO
Management Process	NO
Coordination and Linkages	NO
Financial and Management Capabilities	YES
Implementation Plan	YES
Budget Forms	Project Line Item Budget and Planned Cumulative Quarterly Expenditures of NRA Grant Funds only

FUNDING METHODS

Justification for Requested NRA Funds	YES
Justification for Pre-Notification Costs	YES, if applicable
Justification for Cost per Participant	YES, if applicable

Application Submission Requirements for Incremental Funding Requests (cont.)

Submission Requirements for Regular Applications	**Required in Request for Incremental Funding?**
Description of State's Administrative Responsibilities	YES
Review and Comment from Substate Grantee(s)	NO
Review and Comment from Labor Organization(s)	NO

2. Incremental Funding at the Discretion of the Secretary

Examples of circumstances in which the Secretary may choose to fund a project, or to release funds, in an incremental manner include:

a. The application does not meet the requirements of a responsive application but there is a verifiable need for immediate assistance. In this case, the Secretary will determine the amount of funds to be provided in the initial increment, and the conditions which must be met to receive additional funding. These conditions will be communicated in the Grant Officer's award letter.

b. The applicant is requesting a significant amount of funds for needs-related payments and the project has a duration of more than 9 months. In cases where a significant portion of the grant request is for needs-related payments, a Notice of Obligation shall be issued for the full amount of the approved grant, but only sufficient funds will be released for needs-related payments during the first three quarters of the grant period. Additional funds for needs-related payments will be released based on a confirmed need. This procedure shall apply for all section 325A (DDP) and section 326 (Clean Air) projects, and where the applicant has requested that needs-related payments be based on criteria other than the applicable State or substate formula policy.

c. The applicant and/or proposed project operator do not have sufficient experience in successfully operating a dislocated worker project of the type being proposed. The Department may reserve up to 33% of an approved grant award for subsequent release based on prior experience of the applicant and/or project operator. Release of the funds shall be contingent on achieving performance conditions specified in the award letter from the Grant Officer.

C. Emergency Funding

1. Eligible Circumstances

Emergency funding may be provided in situations involving disaster events or in which there are unexpected mass layoffs or plant shutdowns, including those created as a result of government action, that create emergency situations where:

- the emergency nature of the sudden and unexpected dislocation event does not provide a reasonable period of time to develop a full proposal;
- the number of dislocated workers who meet the eligibility criteria shall be such that the JTPA Title III substate grantee, local Title III project operator, Native American Title IV grantee and/or the State are unable to respond to the dislocation with existing resources; and
- the affected workers shall not have received a 60-day notice under the Worker Adjustment and Retraining Notification Act in advance of the layoff or plant closure.

Qualifying emergency situations will be funded in two stages: an initial request; a fully documented application. One-third (33%) of the approved requested funds will be provided based on the initial request. The remainder of the approved funds will be released based on receipt and approval of a fully documented application. Only regular and disaster applications can qualify for emergency funding.

2. Application Submission Requirements

a. *Initial Request.* An Emergency Initial Request shall include the following:

(1) A Transmittal Letter from the Governor or the authorized JTPA State signatory official, requesting emergency funding;

(2) A signed copy of the Assurances and Certifications;

(3) An explanation of the circumstances requiring the emergency funds including the date of the event resulting in the emergency request;

(4) An identification of the area(s) or county(ies) to be served by the grant;

(5) An estimate of the number of workers whose employment is impacted by the emergency;

(6) An identification of the number of affected workers to be served and a description of the rationale for this estimate;

(7) A brief summary of the activities to be conducted;

(8) An identification of the NRA grant funds requested for the total project.

The Initial Request may be sent by telefacsimile (FAX), followed by an original signed request to the Grant Officer and to the ETA Regional Office. The initial emergency application should normally be submitted within 15 days of the precipitating emergency event.

b. *Fully Documented Application.* The grantee shall submit a fully documented application, according to the applicable application requirements (e.g., regular, disaster) within 45 (calendar) days of notification of grant award, unless otherwise approved by the Department.

PART V. APPLICATION REVIEW AND AWARD

A. Review Criteria

1. Overall Considerations

To be considered, the application must demonstrate that the proposed project meets the purpose of and is consistent with the Act and regulations; and provides all the information required by these guidelines. Applications which are not complete in accordance with the requirements defined in these guidelines will not be evaluated for funding until all required information and documentation is provided.

2. Specific Evaluation Criteria

The following specific criteria shall apply to the evaluation of complete applications:

a. *Target Group*. The extent to which the application identifies an eligible target group and provides a reasonable estimate of the portion of the total eligible group to be assisted through the project, based on available information.

b. *Need for NRA Funds*. The extent to which an effort has been made to access other available federal, State and local resources to finance the project and the request for NRA funds is supported by available information on resources and resource utilization.

c. *Management Plan*. Extent to which an adequate process and plan is in effect to deliver the required services, and the applicant has described appropriate management processes to guide and control project implementation.

d. *Participant Service Plan*. Extent to which the described participant service process is responsive to the dislocation circumstances and the ETA customer service principles; and the Implementation Plan provides a timely response to the dislocation(s).

e. *Reasonableness of Proposed Costs*. Extent to which proposed cost items relate to the service plan and that cost levels are appropriate given experience on other projects in the same service area, or on information provided in the application.

These criteria will be used to develop a recommendation on each application regarding fundability (YES/NO), funding level, and funding method (e.g., full funding, incremental funding, incremental release of funds). Appendix H includes copies of the review guides which will be used to: verify the completeness of the application;

evaluate regular applications; evaluate applications for Level I funds under multi-state/industrywide projects; evaluate emergency application initial requests; and evaluate NAFTA-TAA project applications.

B. Application Review Process

1. Where the applicant is an entity other than the State, the applicant must submit the application to the State JTPA agency and to the State Dislocated Worker Unit (if different) for review prior to submission of an application to the Secretary, (see Appendix B for a list of the JTPA liaisons and Appendix C for the Dislocated Worker Units in each State). The State's review shall include a verification of: the completeness of the submission; the descriptive information regarding the financial and management capabilities of the applicant and project operator; and the adequacy of coordination with related programs and State and local agencies. The Department expects that the State will complete its review, and forward the application to DOL, within 15 (calendar) days after receiving a complete application which is being submitted for NRA funding. This review by the State will satisfy the requirements for intergovernmental review of Department of Labor programs and activities under 29 CFR Subtitle A, Part 17.

2. The State shall submit the complete application package, including the State's review and comment letter and the Completeness Review Checklist, concurrently to the Grant Officer and to the Regional Administrator of the applicable ETA Regional Office (see Appendix A for a list of the ETA Regional Offices and the States included in each Region).

3. Funding of an application will be determined based upon the overall responsiveness of the application's content to the submission requirements and to the review criteria. DOL will make a decision regarding the application within 45 calendar days after the date on which a complete application is received by DOL. DOL will provide immediate notification to the applicant if the applicant has not satisfied the application requirements described in Part III of these guidelines.

4. An application **will** be rejected for funding with national reserve funds when:

   a. The application is not consistent with statutory and/or regulatory requirements;

   b. The application does not meet the standards established by these guidelines; **or**

   c. The information required is not provided in sufficient detail to permit an adequate assessment of the responsiveness of the application.

5. An application **may** be rejected, or the requested funds may be reduced, if there are insufficient funds available.

C. Approval and Award Procedure

1. In the case of an award to the State JTPA agency, the Grant Officer will issue an award letter and Notice of Obligation (NOO) pursuant to the JTPA Grant Agreement.

2. Applications that are funded other than pursuant to the Governor-Secretary and JTPA Grant Agreements will be subject to the following grant award procedures:

   a. Once a preliminary decision is made by DOL to approve a proposal, the applicant may be instructed to negotiate and resolve any issues identified in the notification of selection letter from the Grant Officer, and to develop a revised submission to be incorporated into a grant package to be executed by the Department of Labor. If the identified issues are not resolved to the mutual satisfaction of the Department of Labor and the applicant, the application will not be finally approved for funding.

   b. When approved, a grant document will be prepared by the Department in triplicate and forwarded to the applicant for signature. The applicant must sign three originals of the grant document and return them to the Grant Officer for final execution.

   c. The Grant Officer will execute the grant documents, and forward one signed original to the applicant, with copies to the ETA Regional Office and the State. The grant document and the transmittal letter will instruct the grantee as to the date that the grantee may begin to incur costs against the executed grant.

   d. Payment of funds awarded to an applicant outside the Governor-Secretary and JTPA grant agreements will be through an electronic funds drawdown procedure which will be described in the letter from the Grant Officer.

PART VI. PROJECT OVERSIGHT

A. Oversight Review Requirements

There will be a minimum of two onsite reviews of each NRA grant project: one within 90 days after grant award; a second at approximately the midpoint of the grant period or six months after the project begins enrolling participants (whichever comes first). Additional onsite reviews may be conducted based on the complexity, duration and/or performance of the project, and/or recommendations from either of the two required reviews.

1. 90 Day Review

The purpose of this review is to verify that the required services have been or are being provided; the implementation actions regarding facilities, staffing, and project operator agreements have been completed; and that the core management and participant service processes are being planned and implemented appropriately.

This review should be completed no later than the end of the 4th month following grant award.

2. Midpoint Review

The purpose of this review is to assess the effectiveness of the participant service process and the core service elements of outreach, recruitment, eligibility; assessment and service planning; referral to services; and job development. This review will also analyze the approach to collecting and using customer feedback information.

Although both the 90 day and the midpoint reviews will, as a matter of course, look at compliance issues, the focus is on ensuring that critical elements are in place to be able to accomplish the project's objectives and effectively use the grant funds which have been awarded.

B. Oversight Responsibilities

The States and ETA Regional Offices will have primary responsibility for the onsite reviews in cases where the project operator is an entity other than the State. The Regional Office will be responsible for the onsite reviews of all projects in which the grantee is a non-JTPA entity, or in which the State is the project operator.

In cases in which the State is the grantee but not the project operator, the State will have the primary responsibility for conducting the 90 day review. The midpoint review of such projects will be jointly conducted by the State and the Regional Office. It is expected that National Office staff will participate in midpoint reviews of selected large and/or complex projects. In cases where the State is the project operator, a site review for the 90 day review will be at the option of the Regional Office. The Regional Office will be responsible for ensuring that the objectives of this review are being satisfactorily accomplished by the State.

For both 90 day and midpoint reviews, a summary report from the site review shall be submitted to the Title III Program Office, ATTN: Chief of the Division of Program Implementation and to the ETA Regional Administrator, no later than 30 (calendar) days after the review is completed. A copy of the report shall be provided to the State and to the grantee (if other than the State) for follow-up.

C. State Administration

States are expected to perform the following core responsibilities related to NRA projects in which the State is the grantee:

- maintenance of participant and financial information and submission of required reports;
- ensure compliance of project operations with applicable statutory and regulatory requirements;
- carry out the required project site visits; and
- provide needed technical assistance.

If this is the limit of the State's role on the project, the State is playing a "pass-through" administrative role and is subject to the following limit on the State's share of administrative costs which can be charged to the project: 1.5% of the approved grant funds up to a maximum of $25,000. As described in section III.A.9 of these guidelines, the State may request a higher amount for State administration, but must provide a detailed justification.

PART VII. GRANT MODIFICATIONS

The Department recognizes that circumstances will arise where grant modifications will be necessary, and that those circumstances will be, in some cases, beyond the control of the grantee. Following are guidelines governing the submission and review of grant modification requests.

A. Circumstances Requiring a Grant Modification Request

In general, a grant modification request will be required when circumstances change to the extent that:

- actual end-of-project performance is expected to vary by more than 15% from plan regarding: total participants, participants to be enrolled in training, or expenditures for retraining;
- actual end-of-project expenditures will be less than the award, or the amount of the award will be insufficient to satisfactorily complete the project;
- the project objectives cannot be accomplished in the approved grant period;
- there is a need to redefine the eligible target group for the project.

Modification requests to reduce the performance measures in the approved grant (i.e., entered employment rate, wage replacement rate, customer satisfaction rating) to be consistent with actual performance will not be approved.

Non-State grantees will also be required to comply with applicable OMB Circular requirements regarding grant modifications, where applicable.

B. Submission of Grant Modification Requests

All grant modification requests shall be submitted as a letter to the Grant Officer by the authorized signatory, with a copy to the ETA Regional Administrator. The letter must cite the number of the Notice of Obligation transmitting the grant funds to the State or, in the case of a grantee who is not subject to the JTPA Governor-Secretary Agreement, the grant number. The letter shall include a tabular synopsis of the requested modification. A suggested template is included in Appendix F. For each requested change (e.g., number of participants), the synopsis shall summarize the current grant provision, the requested change in the grant provision, and provide an explanation of the circumstances necessitating the requested change. Grant modification requests should not be submitted later than 90 days prior to the expiration date of the grant. A request to deobligate or reprogram grant funds should be submitted no later than 120 days prior to the expiration date of the grant.

C. Review and Approval of Grant Modification Requests

Requests for grant modifications will be considered consistent with the general purposes of the national reserve account, the selection criteria for national reserve projects, and the purposes of the original grant award. Modifications which request changes in the approved grant budget that comprise 25% or more of the grant award, or which significantly change the project design will be reviewed on the same basis as a new application, except that Assistant Secretary rather than Secretary approval will be required.

The Grant Officer will advise the State, or grantee if not the State, in writing of any approval or disapproval of the requested grant modifications within 30 (calendar) days of receipt of a complete grant modification request. Such notification will occur within 45 (calendar) days for modifications requiring Assistant Secretary approval.

APPENDICES

A. Regional Offices of the Employment and Training Administration

Regional Offices of the Employment and Training Administration

REGION (STATES SERVED)	CONTACT INFORMATION
Region I (Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont) Robert J. Semler, Regional Administrator	U.S. Dept. of Labor/Employment & Training Admin. One Congress Street, 10th Floor Boston, Massachusetts 02114-2021 (617) 565-3630
Region II (New York, New Jersey, Puerto Rico, Virgin Islands) Albert Garizio, Acting Regional Administrator	U.S. Dept. of Labor/Employment & Training Admin. 201 Varick Street, Room 755 New York, New York 10014 (212) 337-2139
Region III (Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia) Edwin G. Strong, Regional Administrator	U.S. Dept. of Labor/Employment & Training Admin. 3535 Market Street, Room 13300 Philadelphia, Pennsylvania 19104 (215) 596-6337
Region IV (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee) Toussaint L. Hayes, Acting Regional Administrator	U.S. Dept. of Labor/Employment & Training Admin. 1371 Peachtree Street, NE; Room 400 Atlanta, Georgia 30367 (404) 347-4411
Region V (Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin) Joseph Juarez, Regional Administrator	U.S. Dept. of Labor/Employment & Training Admin. 230 South Dearborn Street, Room 628 Chicago, Illinois (312) 353-0313
Region VI (Arkansas, Louisiana, New Mexico, Oklahoma, Texas) Don A. Balcer, Regional Administrator	U.S. Dept. of Labor/Employment & Training Admin. 525 Griffin Street, Room 317 Dallas, Texas 75202 (214) 767-8263
Region VII (Iowa, Kansas, Missouri, Nebraska)	U.S. Dept. of Labor/Employment & Training Admin.

William H. Hood, Regional Administrator	911 Walnut Street, Room 700 Kansas City, Missouri 64106 (816) 426-3796
Region VIII (Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming) Peter E. Rell, Regional Administrator	U.S. Dept. of Labor/Employment & Training Admin. 1999 Broadway Street, Suite 1780 Denver, Colorado 80202-5716 (303) 391-5770
Region IX (Arizona, California, Hawaii, Nevada, Pacific Territories) Armando Quiroz, Regional Administrator	U.S. Dept. of Labor/Employment & Training Admin. 71 Stevenson Street, Room 839 San Francisco, California 94119 (415) 744-6650
Region X (Alaska, Idaho, Oregon, Washington) Bill Janes, Regional Administrator	U.S. Dept. of Labor/Employment & Training Admin. 1111 Third Avenue, Suite 900 Seattle, Washington 98101-3212 (206) 553-7700

B. State JTPA Liaisons

State JTPA Liaisons
(as of 4/1/96)

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C. State Dislocated Worker Units (DWUs)

DISLOCATED WORKER UNITS
(as of 4/1/96)

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D. STANDARD FORM SF 424

APPLICATION FOR FEDERAL ASSISTANCE

OMB APPROVAL NO. 0348-0043

	2. DATE SUBMITTED	APPLICANT IDENTIFIER
1. TYPE OF SUBMISSION: APPLICATION ~ CONSTRUCTION ~ NON-CONSTRUCTION; PREAPPLICATION ~ CONSTRUCTION ~ NON-CONSTRUCTION	3. DATE RECEIVED BY STATE	STATE APPLICATION IDENTIFIER
	4. DATE RECEIVED BY FEDERAL AGENCY	FEDERAL IDENTIFIER

5. APPLICANT INFORMATION

LEGAL NAME:	ORGANIZATIONAL UNIT:
ADDRESS (GIVE CITY, COUNTY, STATE AND ZIP CODE):	NAME AND TELEPHONE NUMBER OF THE PERSON TO BE CONTACTED ON MATTERS INVOLVING THIS APPLICATION (GIVE AREA CODE):

6. EMPLOYER IDENTIFICATION NUMBER (EIN):

GG-GGGGGGG

7. TYPE OF APPLICANT: (ENTER APPROPRIATE LETTER IN BOX) G

A. STATE
B. COUNTY
C. MUNICIPAL
D. TOWNSHIP
E. INTERSTATE
F. INTERMUNICIPAL
G. SPECIAL DISTRICT
H. INDEPENDENT SCHOOL DIST.
I. STATE CONTROLLED INSTITUTION OF HIGHER LEARNING
J. PRIVATE UNIVERSITY
K. INDIAN TRIBE
L. INDIVIDUAL
M. PROFIT ORGANIZATION
N. OTHER (SPECIFY): ______________________________

8. TYPE OF APPLICATION:
~ NEW ~ CONTINUATION ~ REVISION

IF REVISION, ENTER APPROPRIATE LETTER(S) IN BOX(ES): G G
A. INCREASE AWARD B. DECREASE AWARD C. INCREASE DURATION
D. DECREASE DURATION OTHER (SPECIFY):
____

9. NAME OF FEDERAL AGENCY:

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

GG-GGG

TITLE:

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

12. AREAS AFFECTED BY PROJECT (CITIES, COUNTIES, STATES, ETC.):

13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:	
START DATE	ENDING DATE	A. APPLICANT	B. PROJECT

15. ESTIMATED FUNDING:

A. FEDERAL	$ .00
B. APPLICANT	$ .00
C. STATE	$ .00
D. LOCAL	$ .00
E. OTHER	$ .00
F. PROGRAM INCOME	$ .00
G. TOTAL	$ .00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

A. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON

DATE ____________________________________

B. NO. ~ PROGRAM IS NOT COVERED BY E.O. 12372

~ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

~ YES IF "YES," ATTACH AN EXPLANATION. ~ NO

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

A. TYPED NAME OF AUTHORIZED REPRESENTATIVE	B. TITLE	C. TELEPHONE NUMBER
D. SIGNATURE OF AUTHORIZED REPRESENTATIVE		E. DATE SIGNED

AUTHORIZED FOR LOCAL REPRODUCTION

E. Assurances and Certifications

Assurances and Certifications
for
JTPA Title III National Reserve Grants

_______________________________________ assures that:

1. Use of funds provided through this grant will be in accordance with the Act, applicable regulations, the application and any amendments thereto as approved by the Grant Officer, and shall be consistent with the executed award document signed by the Grant Officer.

2. Services under this grant will be provided only to eligible dislocated workers.

3. Services will not be denied on the basis of residence to eligible dislocated workers.

4. The project design will reflect full consultation with each local labor organization(s) representing 20% or more of the workers affected by the layoff(s) covered by this grant.

5. The project will provide activities and services which are supported with funds reserved by the Secretary pursuant to '302(a)(2) and '322(a)(3) of the Job Training Partnership Act.

6. The project will operate in accordance with the General Administrative Provisions of the Act, as described in Title I, Parts C and D, and section 312(e) of the Act; 20 CFR Part 627 of the Regulations; and 20 CFR Part 631, '631.13, '631.15, '631.16, '631.17, '631.31, '631.37, and Subpart G.

7. The project will maintain accurate and timely participant and fiscal records, and will submit complete, accurate and timely reports as specified by the Grant Officer.

8. Except as described in the application and as approved by the Grant Officer, projects administered by State or Title III substate grantees will adhere to all policies and procedures identified in the approved State Title III Plan, and applicable Title III substate plan.

9. Retraining will only occur in occupations with a demand for workers.

10. By signing these Assurances and Certifications, the applicant is assuring compliance with the provisions of each of the following:

    a. Assurances - Non-Construction Programs (SF 424B);

    b. Debarment, Suspension, Ineligibility and Voluntary Exclusion - Primary Covered and Lower Tier Transactions (29 CFR Part 98);

    c. Certification Regarding Lobbying (29 CFR Part 93);

    d. Certification Regarding Drug-Free Workplace (29 CFR Part 98);

    e. Certification of Release of Information;

    f. Compliance with Nondiscrimination and Equal Opportunity Requirements of JTPA (29 CFR Part 34).

11. Each contract for on-the-job training will comply with the provisions at '627.240 of the Regulations.

12. It will conduct at least once annually a comprehensive review and verification of financial management, procurement systems, participant data, and subrecipient monitoring procedures and systems for the project operator.

13. Funds awarded under this grant will not supplant available resources, and will be coordinated with all resources available to provide assistance to the target group.

14. It will provide effective administration and oversight of the funds awarded through this grant; and that it will review expenditures and enrollment data against the planned levels for the project and notify the Grant Officer expeditiously of any potential over- or underexpenditure of grant funds.

15. It will compile and maintain information on project implementation on a monthly basis, and shall provide such information to the Department as requested.

16. It will develop and implement a system for collecting information from participants regarding satisfaction with outcomes and the service process, and for using that information in a continuous improvement process regarding project design and operation.

Signature of Authorized Signatory	Date
Name	Title

F. GRANT APPLICATION TEMPLATES

PROJECT SYNOPSIS

Project Applicant:	
Amount Requested:	
Project Name:	
Grant Type:___Regular ___Multistate ___Disaster ___Additional Financial Assistance	
Funding Type:___Full ___Incremental ___Emergency	
Project Type:___Regular ___Clean Air Employment Transition Assistance ___Defense Conversion Adjustment ___Defense Diversification ___NAFTA Trade Adjustment Assistance	
Project Operator: Address: Telephone: Contact:	Project Location: Address: Telephone: Contact:
Applicant Contact: Title: Telephone:	County Residence(s) of Affected Workers
Company, Layoff Dates and Number of Workers Being Dislocated:	
Address of Facility from Which Workers are Being Dislocated:	
Labor Organization Representation:	
Major Occupations from Which Individuals are Being Dislocated:	
Principal Occupations for Which Retraining is Likely:	
Number of Participants:	Planned Entered Employment Rate:
Cost Per Participant:	Planned Wage Replacement Rate:
Cost Per Entered Employment:	Project Operations Start Date: End Date:

Notes (include any comments on innovative elements):

IMPLEMENTATION SCHEDULE

Performance Factor	Program Year Quarter (through mo./yr.)							
QUARTERLY PERFORMANCE GOALS								
Total Participants Enrolled								
Total Enrollments in Training								
-- Enrollments in Classroom Training								
-- Enrollments in OJT								
Total Receiving Needs-related Payments								
Total Terminations								
END-OF-PROJECT PERFORMANCE GOALS								
Participants Receiving BRS								
Enrollments in Basic/Remedial Education								
Receiving Relocation Assistance								
Receiving Out-of-Area Job								

Search Asst.								
Total Entered Employments								

NOTE: If a proposed project has more than eight operational periods, please use more than one template to supply the requested information for all periods.

Project Line Item Budget

Expense Item	**Cost Category**						**Total**
	Admin.	BRS	Retraining	Supp. Svs. & NRPs	Rapid Response (DDP)	High Perf. Wkplace (DDP)*	
Staff Salaries**							
Staff Fringe Benefits --______% of Salaries							
Staff Travel --Project Area: ________________ --Other: ______________***							
Communications							
Facilities (incl. rent, utilities, maintenance)							
Office Supplies							
Consumable Testing & Instructional Materials							

* Attach a description of the types of activities included in this category.
** Attach a list of staff positions and the number of Full-Time Equivalent (FTE) staff assigned to each for the project.
*** Provide a description of out-of-project area staff travel and the rationale for such travel.

PROJECT LINE ITEM BUDGET - 2

Expense Item	Cost Category						Total
	Admin.	BRS	Retraining	Supp. Svs. & NRPs	Rapid Response (DDP)	High Perf. Wkplace (DDP)*	
Equipment --Use/Depreciation: ___________ --Purchase: _____________**** --Lease: _____________****							
Tuition Payments							
OJT Reimbursements							
Participant Wages (Disaster projects only)							
Relocation Assistance							
Out-of-Area Job Search Assistance							

**** Attach a list of equipment/furniture items with a unit cost of $5000 or more to be purchased or leased, and, for purchased items, a justification for purchase vs. lease or use charges. Also, attach a list of equipment/furniture items where the total cost of all such items being charged to the grant is more than $20,000, and provide an explanation of the need for the items.

PROJECT LINE ITEM BUDGET - 3

Expense Item	**Cost Category**						**Total**
	Admin.	BRS	Retraining	Supp. Svs. & NRPs	Rapid Response (DDP)	High Perf. Wkplace (DDP)*	
Supportive Services							
Needs-related Payments							
-- Administration of NRPs							
Indirect Cost*****							
Other******							
TOTAL							

***** Attach appropriate documentation of approved rate by cognizant agency for any costs on this item.
****** Attach a description of the types of expenses and services included in this item.

SERVICE PLAN MATRIX

Type of Service	NRA Funds	State Reserve Funds	Substate Funds	Other Sources
BASIC READJUSTMENT SVS.				
Outreach & Recruitment				
Orientation				
Job/Career Counseling				
Assessment & Service Plng.				
Labor Market Information				
Job Search Skills/Asst.				
Job Development & Placement				
Relocation Asst.				
RETRAINING				
Basic/Remedial Education				
Literacy/ESL				
Classroom Vocational/ Occupational				
On-the-Job				
Entrepreneurial				
Out-of-Area Job Search				
Relocation				

SUPPORT SVS./NEEDS-RELATED PAYMENTS				
Transportation				
Child Care				
Financial Counseling				
Personal Counseling				
Needs-related Payments				
Other				

Instructions for Service Matrix

For the NRA, State Reserve, and Substate Funds columns, for each service indicate whether service is being provided directly by the Project Operator (enter an "X), or will be procured from other providers (enter a "Y").

For the Other Sources column, identify the specific funding sources being used to provide each applicable service with the following codes:

1=Employer
2=Union
3=Employment Service (Wagner-Peyser)
4=TAA/NAFTA-TAA
5=Student Financial Aid
6=Other Education/Training
7=Other

PLANNED CUMULATIVE QUARTERLY EXPENDITURES OF NRA GRANT FUNDS

Cost Category	**Quarter (beginning and ending dates)**							
Total Expenditures								
Administration								
-- Admin. of Needs-Related Payments (NRPs)								
Basic Readjustment Services								
Retraining								
Supportive Services & Needs Related Payments (NRPs)								
-- NRPs								
Rapid Response (DDP)								
High Performance Workplace (DDP)								

Template for Estimating Needs-Related Payments for 325A (DDP) and 326 (CAETA) Projects

Family Size	# Participants to Receive Classroom Training	# of CRT Participants with Family Income # Lower Living Standard	Avg. Duration of Participation in Classroom Training	Estimated Avg. Weeks of Training Covered by UI Benefits	Weekly UI Benefit	Poverty Income Level (divided by 52 weeks)	Estimated Needs-Related Payments Requirements
1							
2							
3							
4							
5							
6							
7							
$8							

Instructions for Template for Estimating Needs-Related Payments

# of Participants to Receive Classroom Training is the number of individual participants (no double counts) expected to be in classroom training (basic skills, classroom skills, entrepreneurial). This should be equal to the number of individuals identified in Step 1.

Estimated # of CRT Participants with Family Incomes # Lower Living Standard is the number of CRT participants whose family income in relation to family size places them at or below the lower living standard income level. Separate estimates will have to be developed according to family size.

Average Duration of Participation in Training is the planned average duration of training for those in classroom training.

Estimated Average Weeks of Training Covered by UI Benefits is the average number of weeks in training that an individual will be receiving UI benefits (i.e., If the average individual enters training by the 8th week of their initial UI period, and the benefit period is 26 weeks, then 18 weeks of training will be covered by UI benefits.).

Estimated Average UI Weekly Benefit is the average benefit level for those who will be in classroom training, based on State UI policies. In general, this level will not vary by family size.

Poverty Level (divided by 52 weeks) provides a weekly estimate of the poverty income level, and will vary by family size. This level, which is an annualized figure, must be divided by 52 to get a weekly amount.

Estimated Needs-related Payments Requirements = [# of CRT Participants with Family Incomes # Lower Living Standard] X [(Average Weeks Duration of Participation in Training) - (Estimated Average Weeks of Training Covered by UI Benefits)] X [Higher of "Weekly UI Benefit" or "Poverty Level (divided by 52 weeks)"]

The Needs-related Payment Requirements will have to be estimated separately by family size and then summed to get total requirements.

AFA Funding and Participation Summary

	Total PY Funds	Estimated Participants	Cost per Participant	Estimated Entered Employments	Cost per Entered Employment
Formula Allotment					
Formula Allotment plus Requested Funds					

SUMMARY OF AVAILABLE FUNDS USAGE

SOURCE OF FUNDS	AVAILABLE FUNDS	TO DATE OBLIGATIONS	TO DATE EXPENDITURES	# CURRENT PARTICIPANTS	PROJECTED END OF PY/PROJECT EXPENDITURES
Governor's Reserve: Statewide Projects					
Governor's Reserve: Discre-tionary Allocation					
Substate(s) Formula					
Title III Funds Transferred to Other Titles					
Current NRA Pro-jects in State -- Total					
NRA Project:					
NRA Project:					
NRA Project:					
NRA Project:					
NRA Project:					

Available Funds = Current PY available funds for formula allotments/allocations. = NOO obligations for NRA projects.

To Date Obligations = Amount of actual financial obligations of available funds through the end of the most recent month.

To Date Expenditures = Amount of accrued expenditures through the end of the most recent month.

 # Current Participants = On-board, not cumulative, enrollment through the end of the most recent month.

Projected End of PY/Project Expenditures = Estimated expenditures of available funds at the end of the PY, for formula funds, and end of project performance period for NRA funds.

Governor's Reserve: Statewide Projects = Funds reserved from the State's current PY allotment to be used for statewide, regional, or industrywide projects.
Governor's Reserve: Discretionary Allocation = Funds reserved from the State's current PY allotment to be used for additional allocations to substate areas experiencing substantial increases in worker dislocations.

Substate(s) Formula = Current PY allocation to the substate area or areas in which project is to operate.

Title III Funds Transferred to Other Titles = Total amount of funds allocated by formula for the Program Year which have been transferred for use under other JTPA Titles.

Current NRA Projects in State -- Total = Sum of all currently operating NRA projects for which the State is the grantee.

NRA Project: = Each currently operating NRA project for which the State is the grantee.

COMPARATIVE COST AND PERFORMANCE ANALYSIS: FORMULA PROGRAM AND PROPOSED PROJECT DESIGN

Performance Factor	Formula Program for Period: ________ through ________	Proposed in this Application	Justification for Variance
Cost per Participant			
Entered Employment Rate			
Cost per Entered Employment			
Average Wage at Placement			
Cost per Participant for Basic Readjustment Services only			
Cost per Participant for Retraining			
Average Number of Weeks of Participation			
Weekly Amount of Needs-Related Payments per Participant			
Maximum Amount of Needs-Related Payments per Participant			

SUMMARY OF REQUESTED MODIFICATION TO CURRENT NRA GRANT

NATURE OF REQUESTED MODIFICATION:		
PROJECT DESIGN FACTOR	CURRENT GRANT	MODIFIED PROJECT
# Participants		
Cost per Participant		
# Entered Employments		
Cost per Entered Employment		
# Subprojects		
Administration Costs as % of Total Expenditures		
Retraining Costs as % of Total Expenditures		
Supportive Services/Needs Related Payments Costs as % of Total Expenditures		
EXPLANATION OF CIRCUMSTANCES CREATING NEED FOR MODIFICATION:		

G. Application Review Guides

TITLE III NRA GRANT APPLICATION
COMPLETENESS REVIEW CHECKLIST

Application Type: State: Amount of Requested Funds:

Application Requirement	Included on Page(s)			
	Local Review	State Review	RO Review	NO Review
Transmittal Letter	XX			
SF 424	XX			
Assurances & Certifications	XX			
Completed Project Synopsis				
Identification of Target Group & Basis for Participation Estimate				
Description of Local Labor Market Conditions				
Description of Client Service Process				
Completed Service Plan Matrix				
Description of Basis for Estimated Needs-related Payments				
Description of Rationale for any Relocation/Out-of-Area Assistance				
Description of Provision of Required Services				
Description of Core Management Process and Procedures				
Certification of Coordination and Linkages	XX			
Description of Financial and Management Capabilities				
Identification of Implementation Activities				
Completed Implementation Schedule				
Completed Budget Template 1				
Completed Budget Template 2				
Completed Budget Template 3				

Review and Comment Letter from Governor/ Substate Grantee	XX			
Documentation of Consultation with Labor Organizations				

Certification of Completeness of Application:

Local Reviewer: ____ Date:____________

State Reviewer: ____ Date:____________

RO Reviewer: ____ Date:____________

NO Reviewer: ____ Date:____________

TITLE III NRA GRANT APPLICATION
PANEL REVIEW GUIDE

Application Type:

State:

Amount of Requested Funds:

The following review guide is to be used in making the following determinations regarding an application for National Reserve Grant funds:

< Is the application fundable at any level of funding?

< If the application is fundable, should it be funded at the requested level?

< Given the dislocation circumstances and the application, what is the most appropriate funding method to be used?

This guide is designed to help the reviewers make these determinations based on five evaluation criteria: target group, the need for NRA funds, management plan, participant service plan, reasonableness of proposed costs.

Criterion: Target Group

Objective of the Analysis: To verify that there is an eligible target group of workers to be served and that the number of planned participants in relation to the number of affected workers is reasonable given the circumstances of the dislocation event.

Analysis

INQUIRY	RESPONSE
Do the identified workers in the application meet the eligibility requirements of sections 301(a), 314(h)(1), 325(a) and (e), 325A(b), 325A(f), or 326(a)(1)? Are there any identified workers who do not meet eligibility requirements? Are the applicable eligibility requirements appropriate to the proposed project?	
Is the identified target group included in any other pending NRA applications or grant awards?	
Is there an adequate rationale for the estimate of the number of planned participants in relation to the number of affected workers?	
Is there sufficient evidence of worker interest, awareness and support of the project? If some or all of the targeted layoffs occurred more than 4 months prior to the application date, is there sufficient evidence of maintaining contact with these workers?	
Are the outreach and recruitment methods appropriate and sufficient given the make-up of the target group and the dislocation circumstances?	

Summary Assessment

IMPLICATIONS	RESPONSE
Fundability	
Funding Level	
Funding Method	

Criterion: Need for NRA Funds

Objective of the Analysis: To verify that an adequate effort is being made to access available resources at the State and local level to support the project, and that JTPA applicants are maintaining appropriate expenditure levels of formula funds.

Analysis

INQUIRY	RESPONSE
What non-NRA resources, including State and substate formula funds, have been considered and/or are being utilized to support the project? If NONE, does the application provide an explanation of why such resources are not available?	
Is the applicant making an effort to access other appropriate training funds (e.g., Pell Grants, TAA, tuition payment/reimbursement plan)?	
Has the State provided an appropriate explanation of why formula funds are not available to fully fund the project?	
Are there funds which will not be expended in an existing NRA grant in the State which are sufficient to cover the request?	

Summary Assessment

IMPLICATIONS	RESPONSE
Fundability	
Funding Level	
Funding Method	

Criterion: Management Plan

Objective of the Analysis: To verify that the applicant has or is establishing a sufficient management capability to successfully implement the project and meet its responsibilities under the grant.

Analysis

INQUIRY	RESPONSE
Does the project operator(s) have any history of compliance, financial management and/or performance problems? If YES, has the applicant provided sufficient information to demonstrate its administrative capability to manage grant funds in accordance with the Act and Regulations?	
Does the applicant and project operator(s) have sufficient experience or a track record of demonstrated capability to achieve the performance and expenditure objectives of the proposed project?	
Is there a sufficient plan for providing all of the required services (contact with employer and workers; mechanism for involving representatives of employer, workers, and community; collection of information on eligible workers; early intervention services)?	
Are the procedures for each of the following adequate for the requirements of the project: -- managing and controlling project performance; -- State monitoring of project implementation and performance.	
Is there sufficient documentation that the applicant and project operator will meet their coordination responsibilities?	

Summary Assessment

IMPLICATIONS	RESPONSE
Fundability	
Funding Level	
Funding Method	

Criterion: Participant Service Plan

Objective of the Analysis: To verify that the applicant has proposed a range of services and a service process which is responsive to the needs of the target group and to the quality service principles which have been defined by ETA.

Analysis

INQUIRY	RESPONSE
Is the scope of proposed services appropriate given the characteristics of the target group and the local labor market conditions?	
Do the proposed client service process, and the method(s) for assessment and service planning support the principle of customer choice and an individualized service strategy?	
Has adequate provision been made for job development given the characteristics of the target group, the labor market conditions, and the number of individuals to receive retraining services?	
Does the Implementation Schedule indicate that participants will be enrolled in a timely manner in relation to the layoff date(s) and the eligibility for needs-related payments?	
Does the Implementation Schedule indicate that participants will be enrolled and terminated within the fund availability limits of the grant award? If NO, is there an assurance that participants will receive all necessary services from other funds sources after expiration of the grant?	

Summary Assessment

IMPLICATIONS	RESPONSE
Fundability	
Funding Level	
Funding Method	

Criterion: Reasonableness of Costs

Objective of the Analysis: To verify that proposed use of grant funds are allowable, and that the level of total costs are appropriate given the dislocation circumstances and the design of the project.

Analysis

INQUIRY	RESPONSE
Are there any proposed costs to be paid with NRA funds that are not: allowable? necessary? do not appear to be properly allocable to this grant?	
Is the estimated cost per participant consistent with the formula program in the same service area or, if appropriate, State? If NO, is there sufficient justification in the application to support the cost per participant?	
Is there adequate justification for the level of funds requested for needs-related payments? Has the applicant requested that NRPs be based on criteria other than established State or substate policies for the payment of NRPs with formula funds?	

Summary Assessment

IMPLICATIONS	RESPONSE
Fundability	
Funding Level	
Funding Method	

RECOMMENDATION

	# of Participants	Cost per Participant	Funding Level
REQUESTED			
RECOMMENDED			

Rationale for Reduced or NO Funding:

If Incremental Funding, rationale and description of increments:

Reviewer ______________________ Date ______________________

APPLICATION REVIEW SHEET FOR PLANNING AND ORGANIZING ASSISTANCE FOR MULTI-STATE GRANTS

Applicant:

Affected States:

AMOUNT OF REQUESTED GRANT FUNDS	
Total:	Level 1:

Review Criteria	Acceptable		Not Included	Comments
	YES	NO		
Target Group Must include: < Total number of affected workers < Sites of actual or expected dislocations and dates < Number of planned participants Estimate of planned participants must have adequate rationale.				

APPLICATION REVIEW SHEET FOR PLANNING AND ORGANIZING ASSISTANCE FOR MULTI-STATE GRANTS - 2

Review Criteria	Acceptable		Not Included	Comments
	YES	NO		
Service Strategy Must include a description of the client service process: < Identification of the activities and/or service components to be provided < Description of criteria for receipt of specific services Must reflect an explanation of the qualitative uniqueness of the service approach in relation to what would be available through regular State and substate programs.				

Workplan < Identifies a set of activities which are appropriate to develop site-based plans, given the scope, location and schedule of dislocations. < Schedule of activities is responsive to the schedule of layoff dates.				

APPLICATION REVIEW SHEET FOR PLANNING AND ORGANIZING ASSISTANCE FOR MULTI-STATE GRANTS - 3

Review Criteria	Acceptable		Not Included	Comments
	YES	NO		
Costs < Estimated costs for providing planned retraining and reemployment services is reasonable in relation to characteristics of participants and services to be provided. < Scope, type and cost of planning and organizing activities are appropriate and reasonable given the number of sites and States involved and schedule of planned layoffs. [Costs for planning & organizing activities do not exceed 5% of total estimated project costs.]				
State Participation < Extent to which States in which layoffs will occur have provided documentation to indicate their commitment to participate in project implementation and to facilitate substate participation.				

APPLICATION REVIEW SHEET FOR PLANNING AND ORGANIZING ASSISTANCE FOR MULTI-STATE GRANTS - 4

Review Criteria	Acceptable		Not Included	Comments
	YES	NO		
Financial and Management Capabilities < Appropriate documentation to demonstrate applicant's ability to effectively meet financial and management requirements.				

Reviewer: ______________________ Date:__________

H. ENTERPRISE COUNCIL PRINCIPLES REGARDING EFFECTIVE CUSTOMER SATISFACTION/CONTINUOUS IMPROVEMENT SYSTEMS

Customer Satisfaction/Continuous Improvement Systems

Background

The Enterprise is a nationwide network of best-in-class employment and training organizations in the public sector. The members are leaders with a common vision of emphasizing high quality, customer-focused services, using successful process management techniques adapted from the private sector. Its purpose is to promote and enhance the quality of all dislocated worker programs and to gain recognition for the quality that exists in the system.

The Enterprise Council, a group of thirteen local, nine state, and six federal officials broadly representative of the workforce development system, has established standards in which an organization has to meet in order to be an Enterprise member and has evolved a set of criteria which characterize quality customer satisfaction/continuous improvement systems.

Customer Satisfaction Measurement

The Enterprise Council has developed a set of fifteen statements and questions to be used in determining how satisfied customers are with the dislocated worker program. For the nine statements, customers provide a response on a ten-point scale, ranging from "1," strongly disagree, to "10," strongly agree. A response is considered positive if it is "6" or higher. The statements are:

1. The program facilities were clean and well maintained.
2. The program facilities were pleasant and inviting.
3. The staff in the program treated me with respect.
4. When the program staff said they would do something, they did it.
5. The program staff responded quickly when I had a question or a problem.
6. The program staff were competent and knowledgeable.
7. The number of places I had to go to get service was reasonable.
8. The time it took to get service from the program was reasonable.
9. The program helped me.

For the six questions, customers provide a response on a ten-point scale, ranging from "1," very low, to "10," very high. A response is considered positive if it is "6" or higher. The questions are:

10. How satisfied are you with the program?
11. To what extent has the program exceeded your expectations?
12. If you had a friend who was laid off, how likely is it that you would recommend the program to him or her?
13. If you were in the same situation again, how likely is it that you would want to use the program another time?
14. Now I want you to think of the ideal program for laid off workers. How well do you think your program compares with that ideal program?
15. If you currently have a job, overall, to what extent are you better off in your current job than in your last significant job before participating in the program?

Continuous Improvement

The Enterprise Council developed a questionnaire which is used to evaluate the continuous improvement practices of applicants for Enterprise membership. The questionnaire evaluates the organization's use of ten core business practices. Each of the ten core practices is evaluated on a scale of zero to three. The ten practices and evaluative elements are:

CUSTOMER FEEDBACK

1. *What processes do you use to gather feedback from the customers listed above?*
Consider extent of customer feedback
Measures to make it easy for customers to communicate.
Pro active rather than passive.
Determination of incoming or potential customer needs/expectations.
Feedback during participation, at completion and after placement.
Feedback from dropouts.
Feedback from Aother@ customers, *i.e.*, employers.
Feedback process is continuous.

2. *How do you use customer feedback information to improve services to these customers?*
Feedback (good or bad) is formally analyzed and summarized.
Information is fed back (via a process) to influence organization's planning.
Information is provided specifically to front line employees to assist them.
Information is assigned to specific individuals for action.
Process to ensure actions are taken.
Process to evaluate effectiveness of actions taken.
Positive (favorable) feedback is used to celebrate or recognize achievements.
Follow up with individual customers is conducted.

CUSTOMER SATISFACTION RESPONSE

1. *What are the components of the (customer satisfaction) plan?*
A comprehensive plan could address the following elements:
  C pro-active solicitation
  C use of information for continuous improvement
  C responding to customer feedback
  C resolving complaints

2. *How is the customer satisfaction plan implemented in your delivery of services?*
All customers are solicited for feedback.
Easy complaint mechanism in place.
Feedback solicited at key points in the process.
Follow up within defined time frames.
Individual response to each complaint.

3. *How do you use customer feedback information to improve services to your customers?*

Feedback analyzed and organized into actionable categories.
Assigned to specific persons/teams for development of solutions.
Organizations empowered to develop and test solutions.
Verified changes are institutionalized via permanent changes to written policies.
Positive and negative feedback and solutions are publicized to entire organization.

BENCHMARKING AND COMPARISON

1. *How do you select operations to benchmark?*

Processes selected for benchmarking are known to be areas needing improvement.
Critical processes have been identified.
Selection of processes to benchmark is based on importance of the specific process to the organization's customer satisfaction.
Processes are measurable in ways that correlate with customer satisfaction.

2. *How do you select organizations to benchmark against?*

Benchmarking partners are chosen based on specific process improvement needs, not general visits.
Partners selected based on known leadership in specific areas or processes.
Staff has received training in benchmarking techniques.
Organizations from the Aoutside world@ are deliberately sought for benchmarking.

3. *How do you use the information collected (via benchmarking) to increase your understanding of critical operations and improve your work place practices?*

Information obtained is quantitative and process specific.
Information is used to make changes and set challenging measurable goals.
A central Adata base@ of benchmarking information is established and current.
Benchmarking is viewed as a positive mechanism to learn from the best.
Those actually performing critical processes participate in benchmarking projects.

EMPLOYEE INVOLVEMENT

1. *How do you involve front line employees?*

Front line employees' direct impact on customer satisfaction is specifically acknowledged and emphasized.
Front line employees have specific opportunity to suggest and implement changes.
Front line employees specifically participate in improvement planning sessions.
Front line employee opinions are solicited prior to changing procedures which impact their jobs.
Front line employees receive feedback from customers on job performance.
Front line assignments are viewed as career enhancing and desirable.

2. *How have you increased employee authority to make decisions and act on behalf of your customers?*

Front line employees have defined authority to make decisions on behalf of customers.
Employee authority has been increased in response to customer feedback.
Teams are formally used as a mechanism to encourage employee involvement.
Job rotation is used to improve employee involvement and understanding.
Easy and frequent opportunities are provided for dialog between employees and management concerning job enhancement.
A process is in place to implement Abottom up@ changes in procedures.

3. *How do your employee involvement activities improve response to customer needs?*

Employees are empowered and encouraged to Ago the extra mile@ for customers.
Employees throughout the organization are focused on Customer Satisfaction.
Specific methods help employees understand the customer's expectations.
Specific changes are traceable to employee involvement activities and initiatives.

STAFF DEVELOPMENT AND RECOGNITION

1. *How do you determine the skills, knowledge and job development needs of your employees?*

A formal process is in place to define skills and knowledge needs of employees.
The process is tailored to specific job functions and categories.
The process obtains input from managers, supervisors and employees.

2. *How do you track who is being trained, how much training they receive and the areas in which you conduct staff training?*

A process exists to prioritize training according to organizational needs.
Training consists of both OJT and outside conferences when appropriate.
Training records reflect training status by individual employee as well as by organizational function.
Records reflect who was trained, what training they received and what additional training is required and scheduled.

3. *How do you measure the effectiveness of training as it relates to your organization's customer satisfaction and continuous improvement goals?*

ABefore and after@ records are used to measure effectiveness of training.
Comments are obtained from trainees relating to effectiveness of training.
Comments are obtained from the trainees' supervisors regarding effectiveness of training in improving job performance and meeting organization goals.

4. *How do you recognize individuals and groups for their achievements in support of organizational quality improvement goals?*

Recognition is directly related to quality achievement, and includes front line employees who go Aabove and beyond@ to satisfy customers.
Recognition is timely and well publicized.
Recognition applies to both individuals, teams, and groups of employees.
Recognition techniques include an appropriate combination of tangible rewards, and informal Apats on the back@ from management.
Recognition extends to critical contributors outside the organization, such as suppliers/affiliates.

5. *How does your organization relate staff recognition programs to continuous improvement and customer satisfaction?*

Goals and measures are in place for C/I and C/S and these goals relate to individuals and organizational functions.
Achievement of C/I and C/S goals clearly impacts recognition recipients.
Individuals and teams receive recognition for actions Aabove and beyond the call of duty@ in satisfying customers.

AFFILIATE SUPPORT

1. *How is your affiliate support system organized?*

There is a proactive approval to involving affiliates in the continuous improvement.
Affiliates participate in quality planning and improvement goal setting.
Quality training has been offered to affiliates and they participate.
Affiliate performance is measured and results are fed back to them.
Affiliates receive formal recognition for continuous improvement achievements.

MONITORING OUTCOMES

1. *How do you use monitoring outcomes in improving your service to customers?*

Outcomes are monitored for unfavorable trends and/or absolute levels.
Improvement goals are established for key outcomes.
Unfavorable trends/outcomes are formally assigned to individuals or teams for corrective action.
Outcomes are used to change or adjust internal operations and processes.
A process is in place to assure that key outcomes are monitored even if not required by regulation.

BUSINESS PRACTICES

1. *How frequently do you use these approaches (Program and Process Audits)?*
- # Audit frequency is specifically defined, *i.e.*, Amonthly or quarterly,@ versus Aperiodically or as required.@
- # Audit frequency allows for timely detection and correction of problem areas.

2. *How is this information (Program and Process Audits results) used to improve the quality of service to your customers?*
- # Results are used to implement changes and continuous improvement cycles.
- # Audits address processes which impact organization performance and customer satisfaction, rather than just outcomes.
- # Audit personnel are sufficiently independent of the function audited to assure objectivity.
- # Corrective action is required for all unfavorable audit finding.
- # Follow up is conducted to assure effectiveness of corrective action.

LEADERSHIP

1. *What is the leadership's vision of and commitment to the quality process?*
- # A clear and comprehensive quality vision statement emphasizes continuous improvement, customer satisfaction and employee development.
- # The vision statement was developed with input from employee and other stake holders.

2. *How does leadership communicate that (their) vision?*
- # A quality vision statement for the organization exists and has been communicated formally to all employees.
- # Leadership personally re-emphasizes the quality vision for the operation and ensures that it is not viewed as Ajust another slogan.@
- # Leadership has communicated their quality vision to other key players outside their organization, *i.e.*, suppliers/affiliates/community leaders.
- # Customers are made aware of their role in achieving the quality vision for the organization.
- # Leadership has personally communicated with all employees to re-emphasize the quality vision statement recently.
- # Leaders are personally active and visible both inside and outside the organization, as advocates for quality, customer satisfaction and continuous improvement.

3. *How is this (quality) commitment reflected in the agency's structure, operations and problem resolution plan?*
- # Leadership maintains an open and supportive culture in the agency.
- # Leadership is readily available to employees for discussion and problem resolution.
- # Opportunities for employee-management dialog, Q&A sessions and informal discussion are deliberately created and encouraged.
- # Teamwork is a key part of the culture.
- # Employees are encouraged and empowered to continuously improve operations.
- # Leadership responds promptly to all employee suggestions.

Leadership has increased the empowerment of their employees.
A well defined process for resolution of employee problems is in place.
The problem resolution culture reflects corrective action, training and continuous improvement, rather than blame fixing.

QUALITY ASSURANCE

1. *How do you control for consistency of quality throughout your delivery system over time?*

Key delivery outcomes are measured and trends are tracked.
Key internal processes are measured and trends are tracked.
An Aalert@ mechanism exists to highlight key processes that deviate from established limits, in a timely manner.
Process deviations (unfavorable results or trends) are addressed and corrected using a defined problem solving approach.
Outside factors that could influence programs and services are monitored and analyzed (*i.e.*, community needs, demographics, *etc.*).

2. *How does your organization evaluate the effectiveness of all its continuous improvement processes, and use this information to enhance customer service?*

A defined process is in place for regular review of continuous improvement performance.
Improvement goals have been established for key processes.
Improvement goals are based on benchmarks or other comparisons with leadership organizations.
Errors and waste are measured as part of the continuous improvement process.
The organization can cite significant improvements in customer service that have resulted from its continuous improvement processes.
Quantitative measures of the effectiveness of the C/I processes *themselves* are monitored. (These might include number of suggestions implemented, number of customer complaints, error and waste reduction, *etc.*) THE ENTERPRISE: PROMOTING QUALITY AND CUSTOMER SERVICE

I. NATIONAL RESERVE ACCOUNT REENGINEERING WORKGROUP

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J. DEFINITIONS OF KEY TERMS

Definitions of Key Terms

1. "Family", for purposes of establishing eligibility for needs-related payments, means two or more persons related by blood, marriage, or decree of court who are living in a single residence, and are included in one of the following categories:

    < A husband, wife and dependent children;
    < A parent or guardian and dependent children;
    < A husband and wife.

2. "Family income" means income as defined by the Department of Health and Human Services in connection with the annual poverty guidelines. Items which should not be included in computing family income are:

    < unemployment compensation
    < child support and public assistance (including Aid to Families with Dependent Children, Supplemental Security Income, Emergency Assistance money payments, and non-federally funded General Assistance or General Relief payments)
    < foster child care payments
    < educational financial assistance received under Title IV of the Higher Education Act
    < needs-based scholarship assistance
    < income earned while on active military duty

    In addition, when a Federal statute specifically provides that income or payments received under such statute shall be excluded in determining eligibility for and the level of benefits received under any other federal statute, such income shall be excluded.

    With the exception of the above, and any other exclusions which can be determined appropriate, family income to be used in determining eligibility for needs-related payments shall be all income actually received from all sources by all members of the family for the six-month period prior to application, annualized. When computing family income, income of a spouse and other family members is counted for the portion of the six-month period, prior to application that the person was actually a member of the family.

3. "High performance workplace activities" are activities designed to increase the productivity of workers and the efficiency of work processes. They include, but are not limited to: analyzing and restructuring ("reengineering") work processes to strip down processes and work procedures to the most essential parts; acquisition and installation of flexible, multi-purpose, usually computer-based equipment; development and installation of self-control performance management procedures; worker participation in designing new work procedures and methods, including evaluation and selection of new technologies and equipment to be used in the workplace; development of worker skills in self-control systems and procedures, decision-making, working in team-based environment; development of worker competence in using new technologies, including an active role by worker representatives in evaluating and selecting training methodologies and materials.

4. "Obsolete skills", for purposes of establishing eligibility for skills upgrading, means skills or skill levels that would not allow the individual worker to meet current hiring requirements for the occupation in the local labor market, or a labor market to which the individual is willing to relocate. Examples of reasons for "obsolete skills" include: skills that are based on individual employer requirements and are not transferrable to other workplaces; skills that are satisfactory in low technology work environments, but are inadequate to meet hiring criteria or for successful job performance in similar occupations within the current local labor market.

5. "Project Operator" is an entity which receives an award from the grantee to operate a full service program for all or part of the target group covered by the grant. Project operators may be defined on the basis of geographical service areas or specific segments of the target population, but shall not be considered to be individual service offices or locations, or providers of specific services (e.g., occupational skills training). In general, project operators would qualify as "subrecipients" as defined at 20 CFR 626.5 of the JTPA Regulations.

6. "State", for the purposes of these grant application guidelines, shall mean the 50 States of the United States, as represented by the State JTPA agency under the Governor/Secretary Agreement and the JTPA Agreement, block grants. "State" shall also include the following grant eligible territories and legal jurisdictions: District of Columbia, Commonwealth of Puerto Rico, Virgin Islands, Guam, American Samoa, Commonwealth of Northern Marianas, Republic of the Marshall Islands, Federated States of Micronesia, and Republic of Palau, as represented by the State JTPA agency under the Governor/Secretary and the JTPA Grant Agreements, "block grant".

7. "Substate area" means that geographic area in a State designated by the Governor pursuant to his/her authority under section 312 of JTPA.

8. "Substate grantee" means that agency or organization selected to administer programs under agreement among the Governor, the local elected official or officials of the applicable substate area, and the private industry council or councils of such area, as provided in section 312 of JTPA.

9. "Substantial layoff," for the purpose of eligibility of a layoff for assistance with national reserve account funds, is any reduction-in-force which is not the result of a plant closure and which results in an employment loss at any single site of employment during any 30 period for at least 33% of the employees (who work 20 or more hours per week) **or** at least 50 employees (who work 20 or more hours per week).

10. "Wage replacement rate for entered employments" is the number which represents the average, for all project participants, of the ratio of the placement wage to the dislocation wage for each participant.

$$S = \frac{\text{placement wage}}{\text{dislocation wage}}$$